**3GPP TSG-RAN WG2 Meeting #114-e *R2-2106305***

**Online, 19th-27th May, 2021**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.331** | **CR** | **2690** | **rev** | **1** | **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)*.* | | | | | | | | |
|  | | | | | | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **x** | Core Network |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| ***Title:*** | RLC and PDCP Re-establishment upon RRC resume/reestablishment | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Huawei, HiSilicon, Ericsson, Intel, ZTE, Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_newRAT-Core | | | | |  | ***Date:*** | | | 2021-05-19 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | A |  | | | | | ***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-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | In the field description for reestablishRLC, it says:  *For SRB2 and DRBs, it is also set to true during the resumption of the RRC connection or the first reconfiguration after reestablishment.*  The field description enforces reestablishRLC to be set to true in case of the RRC connection or the first reconfiguration after reestablishment. However, when full configuration is used, the RLC bearers for SRBs and DRBs have been released and should be added again. It makes no sense to re-establish the RLC entities when they are just added/created.  Furthermore, in RAN2#113 meeting, the following agreements have been made:   * If SRB1 is included in the first RRCReconfiguration after re-establishment, the reestablishPDCP field *is not set to true* for SRB1. * If SRB1 is included in the first RRCReconfiguration after re-establishment, the reestablishRLC field is not set to *true* for SRB1. * If SRB1 is included in the RRCResume, the reestablishPDCP field is not set to true for SRB1. * If SRB1 is included in the RRCResume, the reestablishRLC field is not set to true for SRB1   which can be captured to avoid potential configuration mistakes in the networks. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | 1/ Clarify in the field description for reestablishRLC that “For SRB2 and DRBs, unless full configuration is used, it is also set to true during the resumption of the RRC connection or the first reconfiguration after reestablishment.”  2/ clarify in the field description for reestablishPDCP and reestablishRLC, that if SRB1 is included in the RRCResume or in the first RRCReconfiguration after re-establishment, the reestablishPDCP field and the reestablishRLC field are not set to *true.*  **Impact analysis**  Impacted 5G architecture options:  NR SA, NR-DC, NE-DC  Impacted functionality:  Full configuration, RRC resume, RRC re-establishment  Inter-operability:  If the UE is implemented according to this CR while the network is not, the network may re-establish RLC entities for SRBs and DRBs during the resumption of the RRC connection or the first reconfiguration after reestablishment even when full configuration is used, which is unnecessary and cause interruptions to UEs. Secondly, the UE may perform an unnecessary security key refresh and PDCP re-establishment for SRB1 at the resumption of the RRC connection and in the first reconfiguration after reestablishment and also leading to security issue of re-use of the PDCP COUNT value.  If the network is implemented according to this CR while the UE is not, there is no inter-operability issue. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | The network may re-establish RLC entities for SRBs and DRBs during the resumption of the RRC connection or the first reconfiguration after reestablishment even when full configuration is used, which is unnecessary and cause interruptions to UEs.  Further, the UE may perform an unnecessary security key refresh and PDCP re-establishment for SRB1 at the resumption of the RRC connection and in the first reconfiguration after reestablishment and also leading to security issue of re-use of the PDCP COUNT value. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 6.3.2 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

*START OF CHANGE*

#### – *RadioBearerConfig*

The IE *RadioBearerConfig* is used to add, modify and release signalling and/or data radio bearers. Specifically, this IE carries the parameters for PDCP and, if applicable, SDAP entities for the radio bearers.

*RadioBearerConfig* information element

-- ASN1START

-- TAG-RADIOBEARERCONFIG-START

RadioBearerConfig ::= SEQUENCE {

srb-ToAddModList SRB-ToAddModList OPTIONAL, -- Cond HO-Conn

srb3-ToRelease ENUMERATED{true} OPTIONAL, -- Need N

drb-ToAddModList DRB-ToAddModList OPTIONAL, -- Cond HO-toNR

drb-ToReleaseList DRB-ToReleaseList OPTIONAL, -- Need N

securityConfig SecurityConfig OPTIONAL, -- Need M

...

}

SRB-ToAddModList ::= SEQUENCE (SIZE (1..2)) OF SRB-ToAddMod

SRB-ToAddMod ::= SEQUENCE {

srb-Identity SRB-Identity,

reestablishPDCP ENUMERATED{true} OPTIONAL, -- Need N

discardOnPDCP ENUMERATED{true} OPTIONAL, -- Need N

pdcp-Config PDCP-Config OPTIONAL, -- Cond PDCP

...

}

DRB-ToAddModList ::= SEQUENCE (SIZE (1..maxDRB)) OF DRB-ToAddMod

DRB-ToAddMod ::= SEQUENCE {

cnAssociation CHOICE {

eps-BearerIdentity INTEGER (0..15),

sdap-Config SDAP-Config

} OPTIONAL, -- Cond DRBSetup

drb-Identity DRB-Identity,

reestablishPDCP ENUMERATED{true} OPTIONAL, -- Need N

recoverPDCP ENUMERATED{true} OPTIONAL, -- Need N

pdcp-Config PDCP-Config OPTIONAL, -- Cond PDCP

...,

[[

daps-Config-r16 ENUMERATED{true} OPTIONAL -- Cond DAPS

]]

}

DRB-ToReleaseList ::= SEQUENCE (SIZE (1..maxDRB)) OF DRB-Identity

SecurityConfig ::= SEQUENCE {

securityAlgorithmConfig SecurityAlgorithmConfig OPTIONAL, -- Cond RBTermChange1

keyToUse ENUMERATED{master, secondary} OPTIONAL, -- Cond RBTermChange

...

}

-- TAG-RADIOBEARERCONFIG-STOP

-- ASN1STOP

|  |
| --- |
| *DRB-ToAddMod* field descriptions |
| ***cnAssociation***  Indicates if the bearer is associated with the *eps-bearerIdentity* (when connected to EPC) or *sdap-Config* (when connected to 5GC). |
| ***daps-Config***  Indicates that the bearer is configured as DAPS bearer. |
| ***drb-Identity***  In case of DC, the DRB identity is unique within the scope of the UE, i.e. an MCG DRB cannot use the same value as a split DRB. For a split DRB the same identity is used for the MCG and SCG parts of the configuration. |
| ***eps-BearerIdentity***  The EPS bearer ID determines the EPS bearer. |
| ***reestablishPDCP***  Indicates that PDCP should be re-established. Network sets this to *true* whenever the security key used for this radio bearer changes. Key change could for example be due to termination point change for the bearer, reconfiguration with sync, resuming an RRC connection, or the first reconfiguration after reestablishment. It is also applicable for LTE procedures when NR PDCP is configured. Network doesn't include this field for DRB if the bearer is configured as DAPS bearer. |
| ***recoverPDCP***  Indicates that PDCP should perform recovery according to TS 38.323 [5]. Network doesn't include this field if the bearer is configured as DAPS bearer. |
| ***sdap-Config***  The SDAP configuration determines how to map QoS flows to DRBs when NR or E-UTRA connects to the 5GC and presence/absence of UL/DL SDAP headers. |

|  |
| --- |
| *RadioBearerConfig* field descriptions |
| ***securityConfig***  Indicates the security algorithm and key to use for the signalling and data radio bearers configured with the list in this IE *RadioBearerConfig*. When the field is not included after AS security has been activated, the UE shall continue to use the currently configured *keyToUse* and security algorithm for the radio bearers reconfigured with the lists in this IE *RadioBearerConfig*. The field is not included when configuring SRB1 before AS security is activated. |
| ***srb3-ToRelease***  Release SRB3. SRB3 release can only be done over SRB1 and only at SCG release and reconfiguration with sync. |

|  |
| --- |
| *SecurityConfig* field descriptions |
| ***keyToUse***  Indicates if the bearers configured with the list in this IE *RadioBearerConfig* are using the master key or the secondary key for deriving ciphering and/or integrity protection keys. For MR-DC, network should not configure SRB1 and SRB2 with secondary key and SRB3 with the master key. When the field is not included, the UE shall continue to use the currently configured *keyToUse* for the radio bearers reconfigured with the lists in this IE *RadioBearerConfig*. |
| ***securityAlgorithmConfig***  Indicates the security algorithm for the signalling and data radio bearers configured with the list in this IE *RadioBearerConfig*. When the field is not included, the UE shall continue to use the currently configured security algorithm for the radio bearers reconfigured with the lists in this IE *RadioBearerConfig*. |

|  |
| --- |
| *SRB-ToAddMod* field descriptions |
| ***discardOnPDCP***  Indicates that PDCP should discard stored SDU and PDU according to TS 38.323 [5]. |
| ***reestablishPDCP***  Indicates that PDCP should be re-established. Network sets this to *true* whenever the security key used for this radio bearer changes. Key change could for example be due to reconfiguration with sync, for SRB2 when resuming an RRC connection, or at the first reconfiguration after RRC connection reestablishment in NR. For SRB1, when resuming an RRC connection, or at the first reconfiguration after RRC connection reestablishment in NR, the network does not set this field to *true.* For LTE SRBs using NR PDCP, it could be for handover, RRC connection reestablishment or resume. Network doesn't include this field if any DAPS bearer is configured. |
| ***srb-Identity***  Value 1 is applicable for SRB1 only. Value 2 is applicable for SRB2 only. Value 3 is applicable for SRB3 only. |

|  |  |
| --- | --- |
| Conditional Presence | Explanation |
| *RBTermChange* | The field is mandatory present in case of:  - set up of signalling and data radio bearer,  - change of termination point for the radio bearer between MN and SN.  It is optionally present otherwise, Need S. |
| *RBTermChange1* | The field is mandatory present in case of:  - set up of signalling and data radio bearer,  - change of termination point for the radio bearer between MN and SN,  - handover from E-UTRA/EPC or E-UTRA/5GC to NR,  - handover from NR or E-UTRA/EPC to E-UTRA/5GC if the UE supports NGEN-DC.  It is optionally present otherwise, Need S. |
| *PDCP* | The field is mandatory present if the corresponding DRB is being setup or corresponding DRB is reconfigured with NR PDCP or corresponding SRB associated with two RLC entities is being setup or if the number of RLC bearers associated with the DRB or SRB is changed. The field is optionally present, Need S, if the corresponding SRB associated with one RLC entity is being setup or corresponding SRB is reconfigured with NR PDCP; otherwise the field is optionally present, need M. |
| *DRBSetup* | The field is mandatory present if the corresponding DRB is being setup; otherwise the field is optionally present, need M. |
| *HO-Conn* | The field is mandatory present  - in case of inter-system handover from E-UTRA/EPC to E-UTRA/5GC or NR,  - or when the *fullConfig* is included in the *RRCReconfiguration* message and NE-DC/NR-DC is not configured,  - or in case of *RRCSetup*.  Otherwise the field is optionally present, need N.  Upon *RRCSetup*, only SRB1 can be present. |
| *HO-toNR* | The field is mandatory present  - in case of inter-system handover from E-UTRA/EPC to E-UTRA/5GC or NR,  - or when the *fullConfig* is included in the *RRCReconfiguration* message and NE-DC/NR-DC is not configured.  In case of *RRCSetup*, the field is absent; otherwise the field is optionally present, need N. |
| *DAPS* | The field is optionally present, need N, in case masterCellGroup includes ReconfigurationWithSync, SCell(s) and SCG are not configured, multi-DCI/single-DCI based multi-TRP are not configured in any DL BWP, *supplementaryUplink* is not configured, ethernetHeaderCompression is not configured for the DRB, and sidelink is not configured. Otherwise the field is absent. |

*NEXT CHANGE*

#### – *RLC-BearerConfig*

The IE *RLC-BearerConfig* is used to configure an RLC entity, a corresponding logical channel in MAC and the linking to a PDCP entity (served radio bearer).

*RLC-BearerConfig* information element

-- ASN1START

-- TAG-RLC-BEARERCONFIG-START

RLC-BearerConfig ::= SEQUENCE {

logicalChannelIdentity LogicalChannelIdentity,

servedRadioBearer CHOICE {

srb-Identity SRB-Identity,

drb-Identity DRB-Identity

} OPTIONAL, -- Cond LCH-SetupOnly

reestablishRLC ENUMERATED {true} OPTIONAL, -- Need N

rlc-Config RLC-Config OPTIONAL, -- Cond LCH-Setup

mac-LogicalChannelConfig LogicalChannelConfig OPTIONAL, -- Cond LCH-Setup

...,

[[

rlc-Config-v1610 RLC-Config-v1610 OPTIONAL -- Need R

]]

}

-- TAG-RLC-BEARERCONFIG-STOP

-- ASN1STOP

|  |
| --- |
| *RLC-BearerConfig* field descriptions |
| ***logicalChannelIdentity***  ID used commonly for the MAC logical channel and for the RLC bearer. |
| ***reestablishRLC***  Indicates that RLC should be re-established. Network sets this to *true* at least whenever the security key used for the radio bearer associated with this RLC entity changes. For SRB2 and DRBs, unless full configuration is used, it is also set to *true* during the resumption of the RRC connection or the first reconfiguration after reestablishment. For SRB1, when resuming an RRC connection, or at the first reconfiguration after RRC connection reestablishment, the network does not set this field to *true.* |
| ***rlc-Config***  Determines the RLC mode (UM, AM) and provides corresponding parameters. RLC mode reconfiguration can only be performed by DRB release/addition or full configuration. The network may configure *rlc-Config-v1610* only when *rlc-Config* (without suffix) is set to *am*. |
| ***servedRadioBearer***  Associates the RLC Bearer with an SRB or a DRB. The UE shall deliver DL RLC SDUs received via the RLC entity of this RLC bearer to the PDCP entity of the *servedRadioBearer*. Furthermore, the UE shall advertise and deliver uplink PDCP PDUs of the uplink PDCP entity of the *servedRadioBearer* to the uplink RLC entity of this RLC bearer unless the uplink scheduling restrictions (*moreThanOneRLC* in *PDCP-Config* and the restrictions in *LogicalChannelConfig*) forbid it to do so. |

|  |  |
| --- | --- |
| Conditional Presence | Explanation |
| *LCH-Setup* | This field is mandatory present upon creation of a new logical channel for a DRB. This field is optionally present, Need S, upon creation of a new logical channel for an SRB. It is optionally present, Need M, otherwise. |
| *LCH-SetupOnly* | This field is mandatory present upon creation of a new logical channel. It is absent, Need M otherwise. |

*END OF CHANGE*