**3GPP TSG-RAN WG2** **Meeting #109 electronic *R2-2000354***

**24 February – 6 March 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.331** | **CR** | **1441** | **rev** | **1** | **Current version:** | **15.8.0** |  |
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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:*** | Introduction of UECapabilityInformation segmentation in TS38.331 | | | | | | | | | |
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| ***Source to WG:*** | ZTE corporation, Sanechips, China Southern Power Grid Co., Ltd, MediaTek Inc, CATT, Ericsson, Intel Corporation,Spreadtrum Communications | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | RACS-RAN-Core | | | | |  | ***Date:*** | | | 2020-01-23 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | B |  | | | | | ***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:*** | | At RAN2#105bis and RAN2#106, the following agreements have been made to introduce RRC level segmentation for UE capability information.  *RAN2#105bis Agreement:*  *The network indicates in the UECapabilityEnquiry message whether the UE may apply RRC segmentation to its UECapabilityInformation*  *RAN2#106 Agreements:*  *1: RRC level segmentation is applied in UE capability information segmentation.*  *2: The RRC message shall be ASN.1 encoded first before the segmentation, and the segmentation shall be processed on the OCTET STRING of encoded RRC message. After segmentation, each segment of the encoded RRC message (OCTET STRING), shall be encapsulated in to a separate RRC message.*  *3: Each message segment carries the following information:*  * rrcMessageSegmentContainer, which is used to include the segmented ASN.1 encoded RRC message*  * segmentEndIndication, which is used to indicate whether the last segment of the RRC message is included in the rrcMessageSegmentContainer.*  *4: Each uplink message segment carries a segment number*  *5: Max number segments is 16*  *6: RAN2 will specify a new UL message type which carries a segment of uplink messages.*  *Working assumption:*  *1 There will be no interleaving of different messages*  This CR introduces RRC segmentation for UE capability information following the above agreements.  Additions for RAN2#109:   * Add a condition to check whether to initiate UL message segment transfer procedure in section 5.6.1.3 * Updated section 5.7.x.2 to refer to UL segmentation * Clarified that segmentation applies to the whole RRC PDU * Replaced the hardcoded size with a statement that the encoded RRC PDU should be smaller than the PDCP SDU size limit * Added lateNonCriticalExtension container   Add protection of UEDedicatedMessageSegment in annex B.1 | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | Segmentation is introduced into the RRC with the following changes:   * Added a condition to check whether to initiate UL message segment transfer procedure in section 5.6.1.3 * New procedural section for UL message segment transfer * ulDedicatedMessageSegment message type added to UL-DCCH-MessageType * Indication of segmentation allowed added to UECapabilityEnquiry * Definition of ULDedicatedMessageSegment message added to ASN.1   Added the ULDedicatedMessageSegment message to annex B.1 on protection of RRC messages | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | RRC Segmentation for *UECapabilityInformation* will not be supported in NR. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.6.1.3, 5.7.x, 6.2.1, 6.2.2, B.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS36.300 CR 1258  TS36.331 CR 4189  TS38.300 CR 0187 | | |
| ***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

#### 5.6.1.3 Reception of the *UECapabilityEnquiry* by the UE

The UE shall set the contents of *UECapabilityInformation* message as follows:

1> if the *ue-CapabilityRAT-RequestList* contains a *UE-CapabilityRAT-Request* with *rat-Type* set to *nr*:

2> include in the *ue-CapabilityRAT-ContainerList* a *UE-CapabilityRAT-Container* of the type *UE-NR-Capability* and with the *rat-Type* set to *nr*;

2> include the *supportedBandCombinationList, featureSets* and *featureSetCombinations* as specified in clause 5.6.1.4;

1> if the *ue-CapabilityRAT-RequestLis*t contains a *UE-CapabilityRAT-Request* with *rat-Type* set to *eutra-nr*:

2> if the UE supports (NG)EN-DC or NE-DC:

3> include in the *ue-CapabilityRAT-ContainerList* a *UE-CapabilityRAT-Container* of the type *UE-MRDC-Capability* and with the *rat-Type* set to *eutra-nr*;

3> include the *supportedBandCombinationList* and *featureSetCombinations* as specified in clause 5.6.1.4;

1> if the *ue-CapabilityRAT-RequestList* contains a *UE-CapabilityRAT-Request* with *rat-Type* set to *eutra*:

2> if the UE supports E-UTRA:

3> include in the *ue-CapabilityRAT-ContainerList* a *ue-CapabilityRAT-Container* of the type *UE-EUTRA-Capability* and with the *rat-Type* set to *eutra* as specified in TS 36.331 [10], clause 5.6.3.3, according to the *capabilityRequestFilter*, if received;

1> if the RRC message segmentation is allowed based on the field *rrc-SegAllowed* received, and the encoded RRC message is larger than the maximum supported size of a PDCP SDU specified in TS 38.323 [5]:

2> initiate the UL message segment transfer procedure as specified in clause 5.7.x;

1> else:

2>submit the *UECapabilityInformation* message to lower layers for transmission, upon which the procedure ends.

Next change

## 5.7 Other

=== Unmodified sections omitted ===

### 5.7.x UL message segment transfer

#### 5.7.x.1 General



Figure 5.7.x.1-1: UL message segment transfer

The purpose of this procedure is to transfer segments of UL DCCH messages from UE to a NG-RAN in RRC\_CONNECTED.

NOTE: The segmentation of UL DCCH message is only applicable to *UECapabilityInformation* in this release.

#### 5.7.x.2 Initiation

A UE capable of UL RRC message segmentation in RRC\_CONNECTED will initiate the procedure when the following conditions are met:

1> if the RRC message segmentation is allowed based on the field *rrc-SegAllowed* received, and

1> if the encoded RRC message is larger than the maximum supported size of a PDCP SDU specified in TS 38.323 [5];

Upon initiating the procedure, the UE shall:

1> initiate transmission of the *ULDedicatedMessageSegment* message as specified in 5.7.x.3;

#### 5.7.x.3 Actions related to transmission of *ULDedicatedMessageSegment* message

The UE shall segment the encoded RRC PDU based on the maximum supported size of a PDCP SDU specified in TS 38.323 [5]. UE shall minimize the number of segments and set the contents of the *ULDedicatedMessageSegment* messages as follows:

1. For each new UL DCCH message, set the *segmentNumber* as 0 for the first message segment and increment the *segmentNumber* for each subsequent RRC message segment;

1> set *rrc-MessageSegmentContainer* to include the segment of the UL DCCH message corresponding to the *segmentNumber*;

1> if the segment included in the *rrc-MessageSegmentContainer* is the last segment of the UL DCCH message:

2> include the *segmentEndIndication* and set the value to true;

1> submit all the *ULDedicatedMessageSegment* messages generated for the segmented RRC message to lower layers for transmission in ascending order based on the *segmentNumber*, upon which the procedure ends.

Next change

### 6.2.1 General message structure

=== Unmodified sections omitted ===

#### *– UL-DCCH-Message*

The *UL-DCCH-Message* class is the set of RRC messages that may be sent from the UE to the network on the uplink DCCH logical channel.

-- ASN1START

-- TAG-UL-DCCH-MESSAGE-START

UL-DCCH-Message ::= SEQUENCE {

message UL-DCCH-MessageType

}

UL-DCCH-MessageType ::= CHOICE {

c1 CHOICE {

measurementReport MeasurementReport,

rrcReconfigurationComplete RRCReconfigurationComplete,

rrcSetupComplete RRCSetupComplete,

rrcReestablishmentComplete RRCReestablishmentComplete,

rrcResumeComplete RRCResumeComplete,

securityModeComplete SecurityModeComplete,

securityModeFailure SecurityModeFailure,

ulInformationTransfer ULInformationTransfer,

locationMeasurementIndication LocationMeasurementIndication,

ueCapabilityInformation UECapabilityInformation,

counterCheckResponse CounterCheckResponse,

ueAssistanceInformation UEAssistanceInformation,

failureInformation FailureInformation,

ulInformationTransferMRDC ULInformationTransferMRDC,

scgFailureInformation SCGFailureInformation,

scgFailureInformationEUTRA SCGFailureInformationEUTRA

},

messageClassExtension CHOICE {

c2 CHOICE {

ulDedicatedMessageSegment-r16 ULDedicatedMessageSegment-r16,

spare15 NULL, spare14 NULL, spare13 NULL, spare12 NULL, spare11 NULL,

spare10 NULL, spare9 NULL, spare8 NULL, spare7 NULL, spare6 NULL,

spare5 NULL, spare4 NULL, spare3 NULL, spare2 NULL, spare1 NULL

},

messageClassExtensionFuture-r16 SEQUENCE {}

}

}

-- TAG-UL-DCCH-MESSAGE-STOP

-- ASN1STOP

Next change

### 6.2.2 Message definitions

=== Unmodified sections omitted ===

#### – *UECapabilityEnquiry*

The *UECapabilityEnquiry* message is used to request UE radio access capabilities for NR as well as for other RATs.

Signalling radio bearer: SRB1

RLC-SAP: AM

Logical channel: DCCH

Direction: Network to UE

*UECapabilityEnquiry* information element

-- ASN1START

-- TAG-UECAPABILITYENQUIRY-START

UECapabilityEnquiry ::= SEQUENCE {

rrc-TransactionIdentifier RRC-TransactionIdentifier,

criticalExtensions CHOICE {

ueCapabilityEnquiry UECapabilityEnquiry-IEs,

criticalExtensionsFuture SEQUENCE {}

}

}

UECapabilityEnquiry-IEs ::= SEQUENCE {

ue-CapabilityRAT-RequestList UE-CapabilityRAT-RequestList,

lateNonCriticalExtension OCTET STRING OPTIONAL,

ue-CapabilityEnquiryExt OCTET STRING (CONTAINING UECapabilityEnquiry-v1560-IEs) OPTIONAL

}

UECapabilityEnquiry-v1560-IEs ::= SEQUENCE {

capabilityRequestFilterCommon UE-CapabilityRequestFilterCommon OPTIONAL, -- Need N

nonCriticalExtension UECapabilityEnquiry-v16xy-IEsOPTIONAL

}

UECapabilityEnquiry-v16xy-IEs ::= SEQUENCE {

rrc-SegAllowed-r16 ENUMERATED {enabled} OPTIONAL, -- Need N

nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- TAG-UECAPABILITYENQUIRY-STOP

-- ASN1STOP

Next change

#### – *UECapabilityInformation*

The IE *UECapabilityInformation* message is used to transfer UE radio access capabilities requested by the network.

Signalling radio bearer: SRB1

RLC-SAP: AM

Logical channel: DCCH

Direction: UE to Network

*UECapabilityInformation* information element

-- ASN1START

-- TAG-UECAPABILITYINFORMATION-START

UECapabilityInformation ::= SEQUENCE {

rrc-TransactionIdentifier RRC-TransactionIdentifier,

criticalExtensions CHOICE {

ueCapabilityInformation UECapabilityInformation-IEs,

criticalExtensionsFuture SEQUENCE {}

}

}

UECapabilityInformation-IEs ::= SEQUENCE {

ue-CapabilityRAT-ContainerList UE-CapabilityRAT-ContainerList OPTIONAL,

lateNonCriticalExtension OCTET STRING OPTIONAL,

nonCriticalExtension SEQUENCE{} OPTIONAL

}

-- TAG-UECAPABILITYINFORMATION-STOP

-- ASN1STOP

#### – *ULDedicatedMessageSegment*

The *ULDedicatedMessageSegment* message is used to transfer segments of the *UECapabilityInformation* message.

Signalling radio bearer: SRB1

RLC-SAP: AM

Logical channel: DCCH

Direction: UE to Network

*ULDedicatedMessageSegment message*

-- ASN1START

-- TAG-ULDEDICATEDMESSAGESEGMENT-START

ULDedicatedMessageSegment-r16 ::= SEQUENCE {

criticalExtensions CHOICE {

ulDedicatedMessageSegment-r16 ULDedicatedMessageSegment-r16-IEs,

criticalExtensionsFuture SEQUENCE {}

}

}

ULDedicatedMessageSegment-r16-IEs ::= SEQUENCE {

segmentNumber-r16 INTEGER (0..15),

rrc-MessageSegmentContainer-r16 OCTET STRING,

segmentEndIndication-r16 ENUMERATED {true} OPTIONAL,

lateNonCriticalExtension OCTET STRING OPTIONAL,

nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- TAG-ULDEDICATEDMESSAGESEGMENT-STOP

-- ASN1STOP

|  |
| --- |
| *ULDedicatedMessageSegment* field descriptions |
| ***segmentNumber***  Identifies the sequence number of a segment within the encoded UL DCCH message. |
| ***rrc-MessageSegmentContainer***  Includes a segment of the encoded UL DCCH message. The size of the included segment in this container should be small enough that the resulting encoded RRC message PDU is less than or equal to the PDCP SDU size limit. |
| ***segmentEndIndication***  Indicates whether the included UL DCCH message segment is the last segment or not. |

#### – *ULInformationTransfer*

The *ULInformationTransfer* message is used for the uplink transfer of NAS or non-3GPP dedicated 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

RLC-SAP: AM

Logical channel: DCCH

Direction: UE to network

*ULInformationTransfer message*

-- ASN1START

-- TAG-ULINFORMATIONTRANSFER-START

ULInformationTransfer ::= SEQUENCE {

criticalExtensions CHOICE {

ulInformationTransfer ULInformationTransfer-IEs,

criticalExtensionsFuture SEQUENCE {}

}

}

ULInformationTransfer-IEs ::= SEQUENCE {

dedicatedNAS-Message DedicatedNAS-Message OPTIONAL,

lateNonCriticalExtension OCTET STRING OPTIONAL,

nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- TAG-ULINFORMATIONTRANSFER-STOP

-- ASN1STOP

Next change

Annex B (informative): RRC Information

B.1 Protection of RRC messages

The following list provides information which messages can be sent (unprotected) prior to AS security activation and which messages can be sent unprotected after AS security activation. Those messages indicated "-" in "P" column should never be sent unprotected by gNB or UE. Further requirements are defined in the procedural text.

P…Messages that can be sent (unprotected) prior to AS security activation

A – I…Messages that can be sent without integrity protection after AS security activation

A – C…Messages that can be sent unciphered after AS security activation

NA… Message can never be sent after AS security activation

| **Message** | **P** | **A-I** | **A-C** | **Comment** |
| --- | --- | --- | --- | --- |
| *CounterCheck* | - | - | - |  |
| *CounterCheckResponse* | - | - | - |  |
| *DLInformationTransfer* | + | - | - |  |
| *FailureInformation* | - | - | - |  |
| *LocationMeasurementIndication* | - | - | - |  |
| *MIB* | + | + | + |  |
| *MeasurementReport* | - | - | - | Measurement configuration may be sent prior to AS security activation. But: In order to protect privacy of UEs, *MeasurementReport* is only sent from the UE after successful AS security activation. |
| *MobilityFromNRCommand* | - | - | - |  |
| *Paging* | + | + | + |  |
| *RRCReconfiguration* | + | - | - | The message shall not be sent unprotected before AS security activation if it is used to perform handover or to establish SRB2 and DRBs. |
| *RRCReconfigurationComplete* | + | - | - | Unprotected, if sent as response to *RRCReconfiguration* which was sent before AS security activation. |
| *RRCReestablishment* | - | - | + | Integrity protection applied, but no ciphering. |
| *RRCReestablishmentComplete* | - | - | - |  |
| *RRCReestablishmentRequest* | - | - | + | This message is not protected by PDCP operation. However, a *shortMAC-I* is included. |
| *RRCReject* | + | + | + | Justification for A-I and A-C: the message can be sent in SRB0 in RRC\_INACTIVE state, after the AS security is activated. |
| *RRCRelease* | + | - | - | Justification for P: If the RRC connection only for signalling not requiring DRBs or ciphered messages, or the signalling connection has to be released prematurely, this message is sent as unprotected. *RRCRelease* message sent before AS security activation cannot include *deprioritisationReq, suspendConfig, redirectedCarrierInfo, cellReselectionPriorities* information fields. |
| *RRCResume* | - | - | - |  |
| *RRCResumeComplete* | - | - | - |  |
| *RRCResumeRequest* | - | - | + | This message is not protected by PDCP operation. However, a *resumeMAC-I* is included. |
| *RRCResumeRequest1* | - | - | + | This message is not protected by PDCP operation. However, a *resumeMAC-I* is included. |
| *RRCSetup* | + | + | + | Justification for A-I and A-C: the message can be sent in SRB0 in RRC\_INACTIVE state, after the AS security is activated. |
| *RRCSetupComplete* | + | NA | NA |  |
| *RRCSetupRequest* | + | NA | NA |  |
| *RRCSystemInfoRequest* | + | + | + | Justification for A-I and A-C: the message can be sent in SRB0 in RRC\_INACTIVE state, after the AS security is activated. |
| *SIB1* | + | + | + |  |
| *SCGFailureInformation* | - | - | - |  |
| *SCGFailureInformationEUTRA* | - | - | - |  |
| *SecurityModeCommand* | + | NA | NA | Integrity protection applied, but no ciphering (integrity verification done after the message received by RRC). |
| *SecurityModeComplete* | - | - | + | The message is sent after AS security activation. Integrity protection applied, but no ciphering. Ciphering is applied after completing the procedure. |
| *SecurityModeFailure* | + | NA | NA | Neither integrity protection nor ciphering applied. |
| *SystemInformation* | + | + | + |  |
| *UEAssistanceInformation* | - | - | - |  |
| *UECapabilityEnquiry* | + | - | - | The network should retrieve UE capabilities only after AS security activation. |
| *UECapabilityInformation* | + | - | - |  |
| *ULDedicatedMessageSegment* | + | - | - |  |
| *ULInformationTransfer* | + | - | - |  |
| *ULInformationTransferMRDC* | - | - | - |  |

End of change