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*Technical Specification*

**Digital cellular telecommunications system (Phase 2+);  
Universal Mobile Telecommunications System (UMTS);  
LTE;  
Policy and Charging Control (PCC) over S9 reference point  
(3GPP TS 29.215 version 9.1.0 Release 9)**

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## Foreword

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## Foreword

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# 1 Scope

The present document provides the stage 3 specification of the S9 reference point for the present release. The functional requirements of stage 2 specification for the S9 reference point are contained in 3GPP TS 23.203 [2]. The S9 reference point lies between the PCRF in the home PLMN (also known as H-PCRF) and the PCRF in the visited PLMN (also known as V-PCRF).

Whenever it is possible the present document specifies the requirements for the protocols by reference to specifications produced by the IETF within the scope of Diameter. Where this is not possible extensions to Diameter are defined within the present document.

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# 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] 3GPP TS 23.203: "Policy and Charging Control Architecture"
- [3] 3GPP TS 29.212: "Policy and charging control over Gx reference point"
- [4] 3GPP TS 29.213: "Policy and charging control signalling flows and Quality of Service (QoS) parameter mapping"
- [5] 3GPP TS 29.214: "Policy and charging control over Rx reference point"
- [6] IETF RFC 3588: "Diameter Base Protocol".
- [7] 3GPP TS 29.229: "Cx and Dx interfaces based on the Diameter protocol; Protocol details"
- [8] IETF RFC 4960: "Stream Control Transmission Protocol".
- [9] 3GPP TS23.003: "Numbering, addressing and identification".

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# 3 Definitions and abbreviations

## 3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [1].

**Home Routed Access:** Roaming scenario where the PCEF is located in the HPLMN. In a Home Routed roaming scenario, the UE obtains access to the packet data network from the HPLMN.

**Visited Access (also known as local breakout):** Roaming scenario where the PCEF is located in the VPLMN. In a Visited Access Roaming scenario, the UE obtains access to the packet data network from the VPLMN.

**Editor's Note:** These definitions can be reformulated when they are included in stage 2 specifications.

## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

AF	Application Function
AN-Gateway	Access Network Gateway
AVP	Attribute-Value Pair
BBERF	Bearer Binding and Event Reporting Function
H-AF	Home AF
H-PCRF	Home PCRF
HPLMN	Home PLMN
HR	Home-Routed
OCS	Online charging system
OFCS	Offline charging system
PCC	Policy and Charging Control
PCEF	Policy and Charging Enforcement Function
PCRF	Policy and Charging Rule Function
S-GW	Serving Gateway
VA	Visited Access
V-AF	Visited AF
V-PCRF	Visited PCRF
VPLMN	Visited PLMN

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## 4. S9 Reference Point

### 4.1 Overview

The S9 reference point is used in roaming scenarios involving a HPLMN and a VPLMN. Two main roaming scenarios are considered: visited access (PCEF in VPLMN and AF in VPLMN or HPLMN) and home-routed access (PCEF in HPLMN and AF in the HPLMN).

Two Diameter applications are used over the S9 reference point: S9 and Rx. The purpose of the S9 Diameter application is to install PCC rules or QoS rules generated in the HPLMN into the VPLMN and transport the events that may occur in the VPLMN to the HPLMN. When the AF is in the VPLMN, Rx is used over the S9 reference point to exchange service session information from the V-PCRF to the H-PCRF.

The AF exchanges session information with the H-PCRF or V-PCRF as specified in 3GPP TS 29.214[5]. The PCRF (H-PCRF and/or V-PCRF) exchanges PCC rules and QoS rules with the PCEF and BBERF respectively as specified in 3GPP TS 29.212[3].

Signalling flows related to all the PCC reference points (Gx, Gxx, Rx and S9) are specified in 3GPP TS 29.213[4].

Diameter messages over the S9 reference point shall make use of SCTP [8].

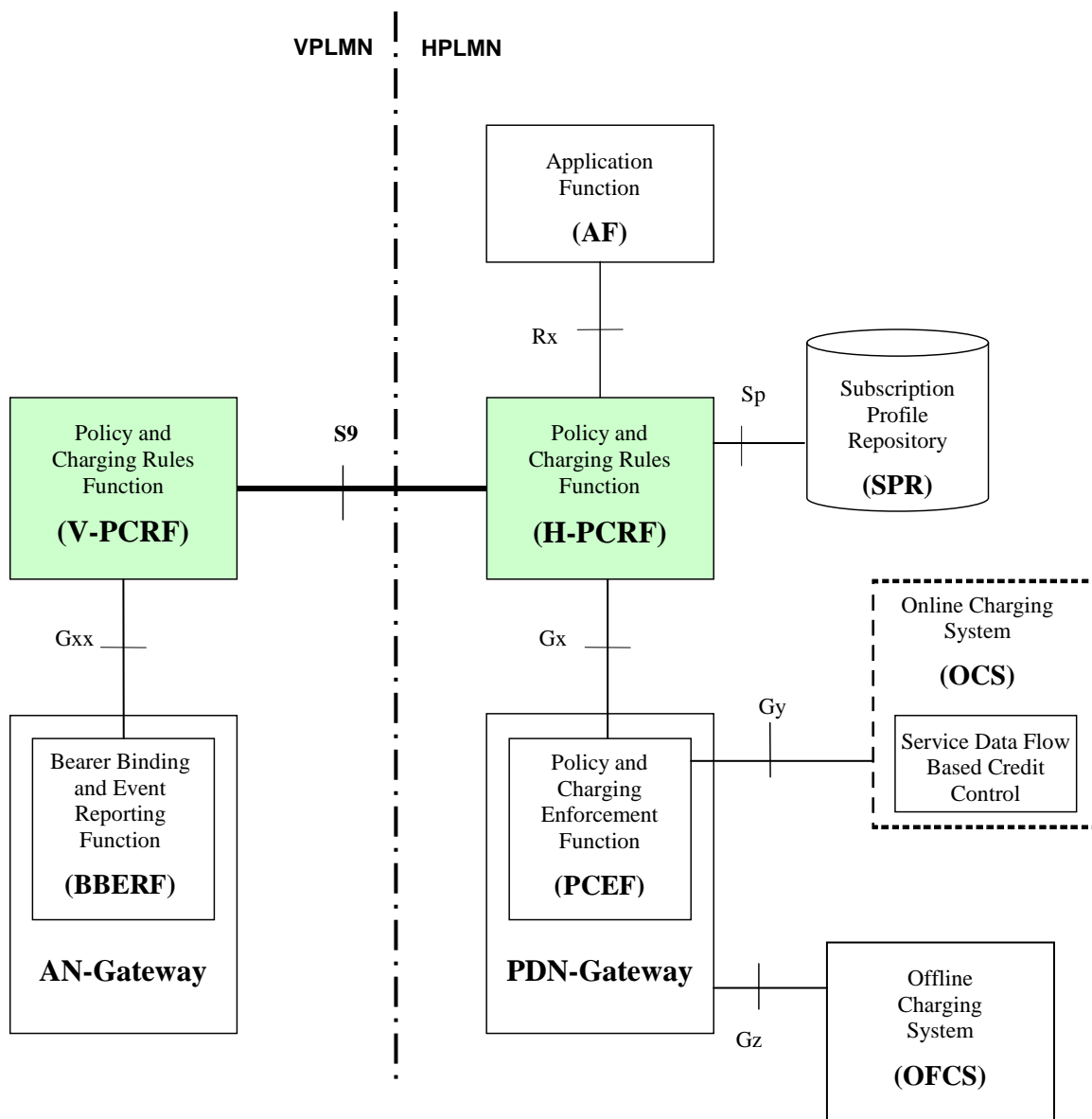
### 4.2 Reference model

The S9 reference point is defined between the V-PCRF and the H-PCRF for home routed access and visited access.

NOTE 1: AN-Gateway refers to the S-GW when the Gxc applies and to a trusted non-3GPP access gateway when Gxa applies.

The relationships between the different functional entities involved in the home routed access are depicted in figure 4.2.1.





**Figure 4.2.1: S9 reference point at the PCC architecture for roaming with home routed access**

The relationships between the different functional entities involved in the visited access are depicted in figure 4.2.2.

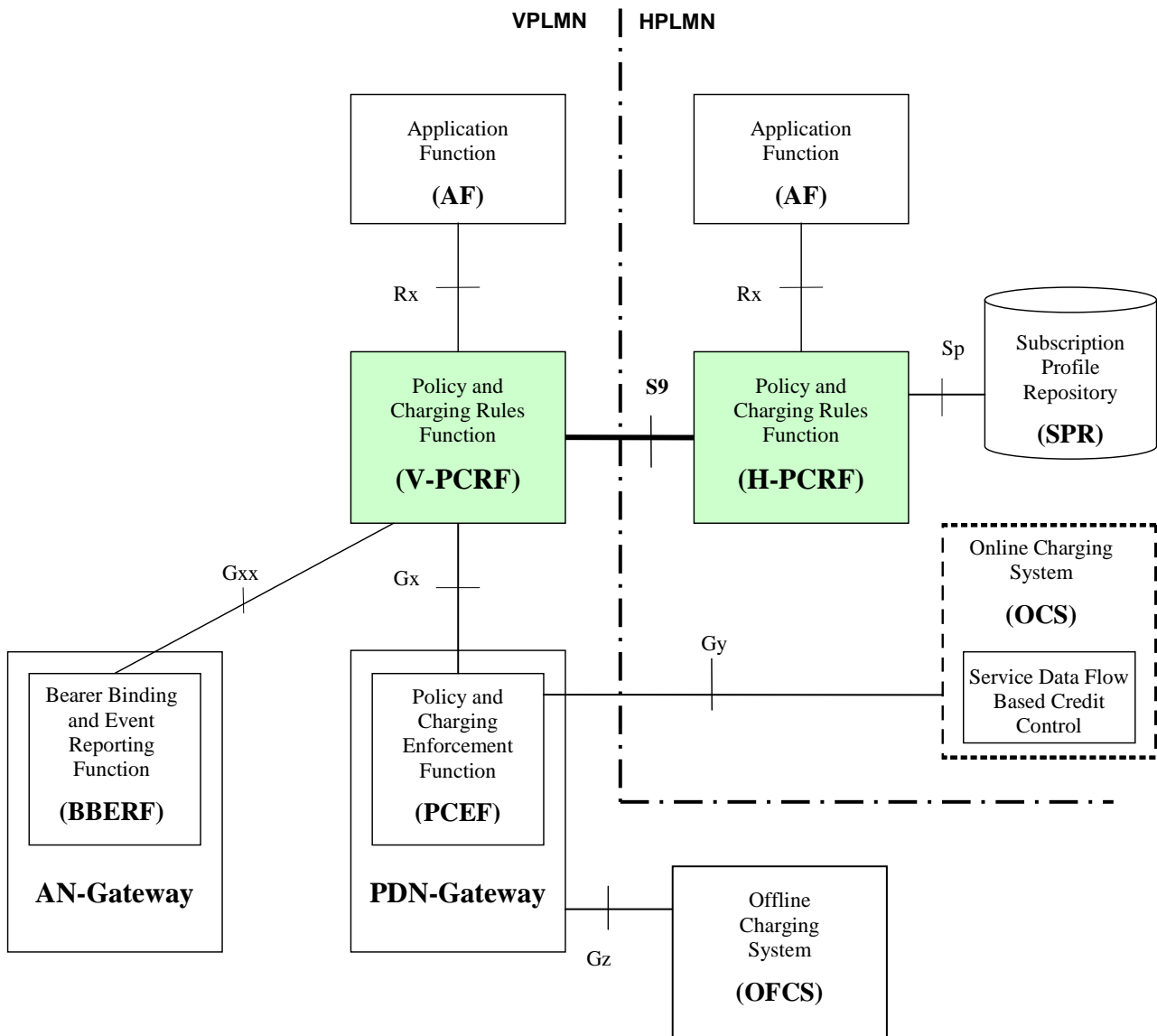


Figure 4.2.2: S9 reference point at the PCC architecture for roaming with visited access

NOTE 2: AF can be located in both VPLMN and HPLMN for the visited access.

For a visited access, the VPLMN may use an OCS proxy between the PCEF and the OCS.

NOTE 3: The H-PCRF can optionally send the addresses of the proxy/OCS to the V-PCRF.

## 4.3 Functional elements

### 4.3.1 H-PCRF

The H-PCRF (Home Policy and Charging Rules Function) is a functional element that encompasses policy control decision and flow based charging control functionalities in the HPLMN.

The H-PCRF provides functions for both home routed access and visited access.

The H-PCRF selects the bearer control mode applicable for the user or IP-CAN session. Policy decisions based on the bearer control mode are made in the H-PCRF.

Usage monitoring as defined in 3GPP TS 29.212 [3] is controlled by the H-PCRF.

When provisioning PCC/QoS rules over the S9 reference point, the H-PCRF is responsible for assigning packet filter identifiers for rules provisioned as a result of UE initiated resource modification.

#### 4.3.1.1 Home routed access

The H-PCRF shall provision QoS Rules to the V-PCRF via the S9 reference point and PCC Rules to the PCEF via the Gx reference point. The H-PCRF ensures that the QoS Rules provisioned are aligned with the PCC Rules.

The H-PCRF PCC Rule decisions may be based on one or more of the following:

- Information obtained from the AF via the Rx reference point.
- Information obtained from the V-PCRF via the S9 reference point.

NOTE: The above may include information obtained from the BBERF via the Gxx reference point.

- Information obtained from the PCEF via the Gx reference point
- Information obtained from the SPR via the Sp reference point.
- PCRF pre-configured information.

The H-PCRF provisions event triggers to the V-PCRF and PCEF.

#### 4.3.1.2 Visited Access

The H-PCRF shall provision PCC Rules to the V-PCRF via the S9 reference point.

The H-PCRF PCC Rule decisions may be based on one or more of the following:

- Information obtained from the AF when located in the home network
- Information obtained from the V-PCRF via the S9 reference point.

NOTE: The above may include information obtained from the AF when the AF is located in the VPLMN and information obtained from the PCEF or BBERF.

- Information obtained from the SPR via the Sp reference point.
- PCRF pre-configured information.

The H-PCRF provisions event triggers to the V-PCRF,

### 4.3.2 V-PCRF

The V-PCRF (Visited Policy and Charging Rules Function) is a functional element that encompasses policy control decision and flow based charging control functionalities in the VPLMN.

The V-PCRF provides functions for both home routed access and visited access.

#### 4.3.2.1 Home routed access

The V-PCRF shall request QoS Rules and report events to the H-PCRF via the S9 interface.

The V-PCRF validates the QoS parameters received within the QoS Rules based on operator policies. The V-PCRF informs the H-PCRF if the QoS validation failed.

The V-PCRF shall provision QoS Rules to the BBERF via the Gxx reference point.

#### 4.3.2.2 Visited access

The V-PCRF shall request PCC Rules from and report events to the H-PCRF using the S9 reference point.

The V-PCRF extracts the QoS Rules from the PCC Rules, validates the former, and if QoS validation is successful, the V-PCRF shall provision the PCC Rules to the PCEF via the Gx reference point and the QoS Rules to the BBERF via the Gxx reference point. If the QoS validation fails the V-PCRF shall reject the request. For case 2a, there may be additional specific rules to be installed at the BBERF for the sole purpose of allowing the tunnel between the BBERF and the PCEF not directly related with any service.

When the AF is located in the VPLMN, the V-PCRF shall exchange Rx messages with the H-PCRF over the S9 reference point.

## 4.4 PCC Rules and QoS Rules

### 4.4.1 PCC Rule definition

The purpose of the PCC Rule is defined in 3GPP TS 29.212 [3]. PCC Rules are sent over S9 interface for visited access.

There are two different types of PCC rules as defined in 3GPP TS 29.212 [3].:

- Dynamic PCC rules. Dynamically provisioned by the H-PCRF to the V-PCRF via the S9 interface. These PCC rules may be either predefined or dynamically generated in the H-PCRF. Dynamic PCC rules can be installed, modified and removed at any time.
- Predefined PCC rules. Preconfigured in the PCEF. Predefined PCC rules can be activated or deactivated by the H-PCRF at any time via the V-PCRF using S9 interface. Predefined PCC rules may be grouped allowing the H-PCRF to dynamically activate a set of PCC rules in the PCEF via the V-PCRF using S9 interface.

The content of a PCC Rule is the same as defined in 3GPP TS 29.212 [3]. The rule name within a PCC Rule shall be used to reference to a PCC Rule in the communication between the H-PCRF and the V-PCRF.

### 4.4.2 QoS Rule definition

The purpose of the QoS Rule is defined in 3GPP TS 29.212 [3]. QoS Rules are sent over S9 interface for home routed access and visited access.

The content of a QoS Rule is the same as defined in 3GPP TS 29.212 [3]. The rule name within a QoS Rule shall be used to reference to a QoS Rule in the communication between the H-PCRF and the V-PCRF.

### 4.4.3 Operations on PCC rules

PCC Rules operations are defined in 3GPP TS 29.212 [3]. This clause clarifies how those operations are implemented on the S9 interface.

For dynamic PCC rules, the V-PCRF validates the QoS parameters requested within the PCC Rules, before accepting the installation or modification of PCC Rules. If the QoS validation fails the V-PCRF rejects the installation or modification of the PCC Rule.

For the Visited Access case, the H-PCRF may activate predefined PCC rules in the V-PLMN's PCEF. In that case, the V-PCRF shall validate, based on roaming agreements, that the H-PCRF is allowed to perform a particular operation on a particular PCC Rule.

### 4.4.4 Operations on QoS Rules

QoS Rules operations are defined in 3GPP TS 29.212 [3].

For QoS rules, the V-PCRF validates the QoS parameters requested within the QoS Rules, before accepting the installation or modification of QoS Rules. If the QoS validation fails the V-PCRF rejects the installation or modification of the QoS Rule.

## 4.5 PCC procedures over S9 Reference Point

### 4.5.1 General

In this release, there are two protocols running over the S9 interface: the S9 protocol and the Rx protocol.

- The Rx protocol is working as specified in 3GPP TS 29.214 [5].
- The S9 protocol is defined in clause 5 in this document. The S9 protocol allows establishment, modification and termination of Diameter S9 sessions. There is an S9 session per UE between each H-PCRF and V-PCRF pair. An S9 session can contain zero, one or several S9 subsessions. The S9 subsession scope is per PDN connection. An S9 subsession can be established, modified and terminated.

When the V-PCRF receives a request that should be sent to the HPLMN, the V-PCRF places the information within a S9 subsession level if it only applies to a particular PDN connection. Otherwise, the information is placed at S9 session level.

There are three distinct network scenarios for an IP-CAN as defined in 3GPP TS.29.213 [4]:

1. No Gateway Control session is needed. GTP is used for S5/S8 reference points.
2. Gateway Control session is needed. Two subcases can be distinguished:
  - 2a) S2c reference point (and then DSMIPv6 protocol) is used by a trusted non-3GPP access to access the EPC.
  - 2b) Trusted non-3GPP accesses that use S2a reference point (PMIPv6 or MIPv4 protocol is used) or 3GPP access that uses PMIPv6 over S5/S8 reference points.

The S9 reference point is used for case 1 in VA scenario and, for cases 2a and 2b for both HR and VA scenarios.

NOTE: The cases described above are oftenly referred through the document as cases 1, 2a or 2b.

#### 4.5.1.1 S9 Session Establishment

When the V-PCRF receives a CCR command with CC-Request-type AVP set to the value "INITIAL\_REQUEST" from the PCEF/BBERF that can not be associated with any existing S9 session to the H-PCRF for that UE (based on the Subscription-ID AVP), the V-PCRF shall establish a new S9 session according to the procedures specified in clause 4.5.2.1 or 4.5.3.1 for home-routed and visited access respectively.

NOTE: In a network scenario that deploys case 1 as defined in clause 4.5.1, S9 session is only needed in the visited access case and the procedures described in clause 4.5.3 apply.

#### 4.5.1.2 S9 Session Termination

The V-PCRF shall initiate a termination of the S9 session when it receives a trigger that originates the removal of the last existing S9 subsession associated with the referred S9 session. The V-PCRF terminates the S9 session following the procedures described in clause 4.5.2.3 or clause 4.5.3.3.

When the H-PCRF determines that the S9 session shall be terminated, the procedures described in clause 4.5.2.4 and 4.5.3.4 apply.

NOTE: In a network scenario that deploys case 1 as defined in clause 4.5.1, only the procedures described in clause 4.5.3 apply.

#### 4.5.1.3 Event Triggers

##### 4.5.1.3.1 Provisioning of Event Triggers

Provisioning of event triggers may be performed by either the V-PCRF or the H-PCRF. The V-PCRF may receive requests to subscribe to event triggers from the H-PCRF, from the PCEF (VA case) or due to an internal or other external event. The H-PCRF may receive subscription request from the PCEF (i.e. In the HR case, the H-PCRF derives

the event triggers from the Event-Report-Indication AVP from the PCEF), or due to an internal or external event (e.g. due to an Rx interaction with the AF).

When the H-PCRF wants to subscribe or unsubscribe to event trigger(s) in the VPLMN, the H-PCRF shall provide to the V-PCRF one or several event triggers by including them within the Event-Trigger AVP. Event Triggers may apply to a specific S9 Subsession(s) or to a specific S9 session. Event Triggers provided for a specific S9 session apply to S9 subsession(s) within the specified S9 session.

- When Event Triggers are provided for a specific S9 subsession(s), the H-PCRF includes Subsession-Decision-Info AVP for each of the affected S9 subsession. Each Subsession-Decision-Info AVP includes the Subsession-Id AVP and the list of event triggers within the Event-Trigger AVP.
- When Event Triggers are provided for a specific S9 session(s), the H-PCRF includes the list of event triggers within the Event-Trigger AVP at command level.

The H-PCRF adds new event triggers or removes previously provided event triggers to the V-PCRF by providing the new complete list of applicable event triggers.

The H-PCRF may provision event triggers to the V-PCRF using both a RAR and a CCA command. However, for the Home Routed case, the H-PCRF shall provision the IP-CAN\_CHANGE event trigger to the V-PCRF in the initial CCA command.

When the V-PCRF receives event triggers from the H-PCRF, the V-PCRF stores them locally as S9-related and proceeds as follows:

- In both the Home-Routed and Visited Access cases, the V-PCRF shall provision the event triggers over the associated Gxx session to the BBERF using the Gateway Control and QoS Rules Provisioning or Gateway Control Session Establishment procedure described in 3GPP TS 29.212 [3] clauses 4a.5.1 and 4a.5.2.
- Additionally, in the Visited Access case, the V-PCRF may also provision the event triggers over the associated Gx session to the PCEF using the PCC Rule Provisioning procedure described in in 3GPP TS 29.212 [3] clause 4.5.3.

For the Visited Access case, the H-PCRF may remove all previously provided event triggers by providing the Event-Trigger AVP set to the value NO\_EVENT\_TRIGGERS. The H-PCRF includes within the Subsession-Decision-Info AVP the affected Subsession-Id AVP and the list of event triggers within the Event-Trigger AVP. When an Event-Trigger AVP is provided with this value, no other Event-Trigger AVP shall be provided in the CCA or RAR command. Upon reception of an Event-Trigger AVP with this value from the H-PCRF, if there are no other locally handled event triggers, the V-PCRF shall provide the Event-Trigger AVP set to the value NO\_EVENT\_TRIGGERS to the BBERF and PCEF; if there are locally handled event triggers, the V-PCRF shall update the event triggers at the BBERF and the PCEF to remove those triggers previously installed based on requests from the H-PCRF. The V-PCRF shall not inform H-PCRF of any subsequent event except for those events that are always subscribed with no provision.

When the PCEF in the Visited Access case subscribes or unsubscribes to one or several event triggers with the V-PCRF, the V-PCRF stores them locally as Gx-related events and then provision them over the associated Gxx session (identified using the Gateway Control Session to IP-CAN session linking procedure described in 3GPP TS 29.212 [3] clause 4a.5.6) to the BBERF using the Gateway Control and QoS Rules Provisioning procedure described in 3GPP TS 29.212 [3] clause 4a.5.2.

The V-PCRF may also provision event triggers to the BBERF/PCEF due to an internal or external trigger or using the Provisioning of Event Triggers procedure as described in 3GPP TS 29.212 [3] clauses 4a.5.3 and clause 4.5.3.

#### 4.5.1.3.2 Reporting of deployed Event Triggers

The V-PCRF may receive a report of an event trigger that is deployed at the BBERF or at the PCEF (VA case).

In the VA case, when the event trigger reported by the BBERF corresponds to a Gx-related event trigger (i.e. a subscription from the PCEF), the V-PCRF notifies the PCEF as described in 3GPP TS 29.212 [3] clause 4.5.2.1.

When the event trigger reported by the BBERF or the PCEF (in VA case) corresponds to a S9-related (i.e. a subscription from the H-PCRF) event trigger, the V-PCRF notifies the H-PCRF using the procedures as described in clause 4.5.2.1 in home routed case or the PCC Rule Request procedure as described in clause 4.5.3.1 for visited access case.

When the event trigger reported by the BBERF/PCEF corresponds to a V-AF-related event trigger, the V-PCRF shall inform the V-AF using the RAR command including the Specific-Action AVP as described in 3GPP TS 29.214 [5] clauses 4.4.6.1, 4.4.6.2 and 4.4.6.3.

#### 4.5.1.4 Multiple BBERF scenarios

The multiple BBERF scenarios happen when there is a change of BBERF and the H-PCRF and the V-PCRF needs to handle more than one BBERF related with the same UE.

The V-PCRF shall follow the procedures defined in clauses 4.5.2.5 and 4.5.3.5 respectively for the home routed and visited access cases.

#### 4.5.1.5 Provisioning and validation of Default EPS Bearer authorized QoS

The default EPS Bearer QoS handling only applies to case 2b in HR scenario, and case 1 and case 2b in the VA scenario.

For IP-CAN types that support multiple IP-CAN bearers, the V-PCRF may provide the Default-EPS-Bearer-QoS AVP in the Subsession-Enforcement-Info AVP within the CCR command to the H-PCRF.

The H-PCRF may provision the authorized QoS for the default EPS bearer within the corresponding S9 subsession in the CCA command including the Subsession-Decision-Info AVP for the S9 subsession within the S9 session. The S9 Subsession-Decision-Info AVP contains the Default-EPS-Bearer-QoS AVP.

Besides the H-PCRF may provision the authorized QoS for the default EPS bearer without receiving a request from the V-PCRF, e.g. in response to an internal trigger within the H-PCRF or upon interaction with the SPR. The H-PCRF shall send a RAR command including the Subsession-Decision-Info AVP with the Default-EPS-Bearer-QoS AVP for the S9 subsession within the S9 session.

The V-PCRF shall validate the Default-EPS-Bearer-QoS AVP in case it is received in the CCA or RAR command. If the QoS validation fails, the V-PCRF shall reject the request using a CCR/RAA command respectively to the H-PCRF. The CCR/RAA shall include the Subsession-Enforcement-Info AVP for the affected S9 subsession that includes the S9 subsession identifier within the Subsession-Id AVP, the QoS-Information AVP to indicate the acceptable QoS, and either the Charging-Rule-Report (VA scenario) or the QoS-Rule-Report (HR scenario) with the Rule-Failure-Code AVP set to UNSUCCESSFUL-QOS-VALIDATION value.

#### 4.5.1.6 Authorized QoS per APN

The Authorized QoS per APN handling only applies to case 2b in HR scenario, and case 1 and case 2b in the VA scenario.

At S9 Session/Subsession Establishment/Modification, the V-PCRF may include the APN-AMBR (if received from the BBERF/PCEF) in the QoS-Information AVP of the Subsession-Enforcement-Info AVP, using the APN-Aggregate-Max-Bitrate-UL AVP and/or the APN-Aggregate-Max-Bitrate-DL AVP.

Upon receiving the subscribed APN-AMBR from the V-PCRF, the H-PCRF shall provision the authorized QoS per APN. The authorized QoS per APN shall be provisioned in the QoS-Information AVP of Subsession-Decision-Info AVP, using the APN-Aggregate-Max-Bitrate-UL AVP and/or the APN-Aggregate-Max-Bitrate-DL AVP. When APN-Aggregate-Max-Bitrate-UL AVP and/or the APN-Aggregate-Max-Bitrate-DL AVP are provided, the Max-Requested-Bandwidth values, and the Guaranteed-Bitrate values shall not be included.

The H-PCRF may provision the authorized APN-AMBR without receiving a request from the V-PCRF, e.g. in response to an internal trigger within the H-PCRF or upon interaction with the SPR. The H-PCRF shall send a RAR command including the Subsession-Decision-Info AVP with the QoS-Information AVP for the S9 subsession within the S9.

#### 4.5.1.7 Bearer Control Mode Selection

The H-PCRF derives the selected bearer control mode based on the received Network-Request-Support AVP, access network information, subscriber information and operator policy.

- If the bearer control mode that H-PCRF derives is applicable for the S9 session of the user, the H-PCRF includes the bearer control mode within Bearer-Control-Mode AVP at the command level.

- If the bearer control mode that H-PCRF derives is applicable for a specific IP-CAN session, the H-PCRF includes the Subsession-Decision-Info AVP for the affected S9 subsession corresponding to the IP-CAN session. The subsession-Decision-Info AVP includes allocated S9 subsession identifier within the Subsession-Id AVP and the bearer control mode within the Bearer-Control-Mode AVP.

## 4.5.2 Home-Routed access

### 4.5.2.1 S9 Session/Subsession establishment/modification

The V-PCRF interacts with the H-PCRF in the following instances:

#### 1) Upon Gateway Control Session establishment over Gxx:

When the V-PCRF receives a CCR command with a CC-Request-Type AVP set to "INITIAL\_REQUEST" from the BBERF over Gxx, the V-PCRF determines whether case 2a or case 2b applies as defined in 3GPP TS 29.213 [4] and applies the following procedures apply:

- If case 2a applies,
  - If there is not an already established S9 session for this roaming user, the V-PCRF shall send to the H-PCRF a CCR command with the CC-Request-Type AVP set to the value "INITIAL\_REQUEST" to establish a new S9 session. The CCR command from the V-PCRF to the H-PCRF shall include those attributes provided by the BBERF to the V-PCRF at the Diameter CCR command level, defined in clause 4a.5.1 of 3GPP TS 29.212 [3].
  - Otherwise, if there is an already established S9 session for this roaming user, the procedures in clause 4.5.2.5 shall be applied.
- If case 2b applies,
  - If there is not an already established S9 session for this roaming user, the V-PCRF shall send to the H-PCRF a CCR command with the CC-Request-Type AVP set to the value "INITIAL\_REQUEST" to establish a new S9 session. The V-PCRF shall include the Subsession-Enforcement-Info AVP within the CCR command with a new S9 subsession identifier assigned by the V-PCRF within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall map the Gxx session-id(s) to the corresponding subsession-id(s) in the S9 session. In addition, the V-PCRF shall include those attributes provided by the BBERF that allows the H-PCRF to identify the Subsession as defined in 3GPP TS 29.212 [3].
  - If an existing S9 session for the roaming user is already established with the H-PCRF, the V-PCRF shall update the existing session by sending a CCR with the CC-Request-Type AVP set to the value "UPDATE\_REQUEST" to the H-PCRF.
  - If an S9 subsession does not exist for the PDN connection corresponding to the gateway control session establishment, the V-PCRF shall include the Subsession-Enforcement-Info AVP within the CCR command with a new S9 subsession identifier assigned by the V-PCRF within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall map the Gxx session-id(s) to the corresponding subsession-id(s) in the S9 session.
  - In all cases, the CCR command from the V-PCRF to the H-PCRF shall include, at subsession level, those attributes provided by the BBERF to the V-PCRF, as defined in clause 4a.5.1 of 3GPP TS 29.212 [3].
  - If the V-PCRF detects that an S9 subsession already exists for a particular PDN connection linked to a different gateway control session (i.e. different Gxx session-id), the V-PCRF shall follow the procedures in clause 4.5.2.5.

#### 2) Upon Gateway Control Session modification over Gxx by receiving a Gateway Control and QoS rules request

When the V-PCRF receives a CCR command with a CC-Request-Type AVP set to "UPDATE\_REQUEST" from the BBERF over Gxx, the V-PCRF shall send a CCR command with a CC-Request-Type AVP set to "UPDATE\_REQUEST" to the H-PCRF including the updated information.

In case 2a, the V-PCRF shall include the attributes provided by the BBERF at the CCR command level.



In case 2b, the V-PCRF shall modify the corresponding S9 subsession by including the Subsession-Enforcement-Info AVP within the CCR command that contains the allocated S9 subsession identifier within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "MODIFICATION". In addition, the V-PCRF shall provide the Subsession-Id AVP to allow the H-PCRF to identify the subsession for which QoS Rules are requested. The V-PCRF shall include the attributes provided by the BBERF within the Subsession-Enforcement-Info AVP.

The QoS rules are provisioned by the H-PCRF as follows:

- In case 2a, the H-PCRF shall provision QoS Rules in the CCA command by the QoS-Rule-Install AVP at the command level.
- In case 2b, the H-PCRF shall provision QoS Rules within the corresponding S9 subsession by issuing the CCA command and including the Subsession-Decision-Info AVP for the S9 subsession within the S9 session. Each S9 Subsession-Decision-Info AVP contains the QoS-Rule-Install AVP.

If the H-PCRF is, due to incomplete, erroneous or missing information (e.g. subscription related information not available or authorized QoS exceeding the subscribed bandwidth) not able to:

- 1) Provision a policy decision to a specific subsession as response to the request sent by the V-PCRF, the H-PCRF shall send a CCA command including the Experimental-Result AVP at the command level with the Experimental-Result-Code AVP set to DIAMETER\_ERROR\_SUBSESSION (5470), including the Subsession-Decision-Info AVP with the rejected Subsession-Id(s) within the Subsession-Id AVP and the appropriate error within either the Experimental-Result-Code AVP or Result-Code AVP.
- 2) Provision a policy decision to any of the S9 subsession(s) or provision a policy decision at the command level, the H-PCRF shall reject the request using a CCA command with the DIAMETER\_ERROR\_INITIAL\_PARAMETERS (5140) within the Experimental-Result-Code AVP.

When the V-PCRF receives a CCA command where S9 specific subsession(s) contain a specific Result-Code or Experimental-Result-Code AVP from the H-PCRF, the V-PCRF shall reply to the BBERF over the respective Gxx with a CCA command including the same result code.

When the V-PCRF receives a CCA command with an error code within the Experimental-Result-Code AVP or Result-Code AVP at the command level, the V-PCRF shall reply to the BBERF over the respective Gxx interface with a CCA command including the same result code.

The V-PCRF shall validate the QoS Rules contained in the CCA. If the QoS validation fails the V-PCRF shall perform the following:

- 1) Reply to the BBERF over Gxx with a CCA command including the Gx experimental result code DIAMETER\_ERROR\_INITIAL\_PARAMETERS (5140).
- 2) If the CCR request related to the Gateway Control Session Establishment from the BBERF is rejected and either the S9 session or the S9 subsession(s) needs to be terminated, send a CCR command to the H-PCRF following the procedures specified in clause 4.5.2.3.
- 3) Otherwise, send a CCR command to the H-PCRF with the CC-Request-Type AVP set to 'UPDATE\_REQUEST' and
  - a) In case 2a, include the QoS-Rule-Report AVP to indicate the QoS Rules that were not accepted, including Rule-Failure-Code AVP set to UNSUCCESSFUL-QOS-VALIDATION value and the QoS-Information AVP to indicate the acceptable QoS.
  - b) In case 2b, include the QoS-Rule-Report AVP within the Subsession-Enforcement-Info AVP to indicate the QoS Rules that were not accepted, including Rule-Failure-Code AVP set to UNSUCCESSFUL-QOS-VALIDATION value and the QoS-Information AVP to indicate the acceptable QoS. The V-PCRF shall include the S9 subsession specific information within the CCR command that includes the S9 subsession identifier within the Subsession-Id AVP. The Subsession-Operation AVP set to the value "TERMINATION" if the CCR used to request the rules was creating a new subsession.

#### 4.5.2.2 Provision of QoS Rules by the H-PCRF

The H-PCRF may decide to provision QoS Rules without obtaining a request from the V-PCRF, e.g. in response to information provided to the H-PCRF via the Rx reference point, or in response to an internal trigger within the H-PCRF, or from a trigger by the SPR. The H-PCRF may also decide to provision QoS rules in response to a request for PCC Rules received by the H-PCRF from the PCEF that is linked with a former Gateway Control session establishment.

To provision QoS Rules without a request from the V-PCRF, the H-PCRF shall do the following:

- In case 2a, send a RAR command including the QoS rules to be provisioned within the QoS-Rule-Install AVP at the command level.
- In case 2b, send a RAR command including the Subsession-Decision-Info AVP for each of the S9 subsessions within the S9 session. Each Subsession-Decision-Info AVP contains the QoS rules to be provisioned within the QoS-Rule-Install AVPs.

The V-PCRF shall validate the QoS Rules contained within each S9 subsession within the RAR command.

If the QoS validation fails the V-PCRF shall send a reject in the RAA command to the H-PCRF. The V-PCRF includes:

- In case 2a, a DIAMETER\_PCC\_RULE\_EVENT (5142) experimental result code, the QoS-Rule-Report AVP to indicate the QoS Rules that were not accepted, including Rule-Failure-Code AVP set to UNSUCCESSFUL-QOS-VALIDATION value and the QoS-Information AVP to indicate the acceptable QoS.
- In case 2b, the Subsession-Enforcement-Info AVP for each rejected S9 subsession. The Subsession-Enforcement-Info AVP with the rejected Subsession-Id(s) and a DIAMETER\_PCC\_RULE\_EVENT (5142) experimental result code, including the QoS-Rule-Report AVP to indicate the QoS Rules that were not accepted, including Rule-Failure-Code AVP set to UNSUCCESSFUL-QOS-VALIDATION value and the QoS-Information AVP to indicate the acceptable QoS.

If the QoS validation succeeds, the V-PCRF shall initiate the Gateway Control and QoS Rules Provision procedure over Gxx as defined in 3GPP TS 29.212 [3] by sending an RAR command to the BBERF including the parameters from the RAR command received from the H-PCRF. When the V-PCRF receives the RAA from the BBERF(s), the V-PCRF responds to the H-PCRF as follows:

- in case 2a, the V-PCRF shall send a corresponding RAA command to the H-PCRF including the corresponding result code.
- in case 2b, the V-PCRF shall send a corresponding RAA command to the H-PCRF including the S9 Subsession-Enforcement-Info AVP for each specific S9 subsession with the corresponding result code.

#### 4.5.2.3 S9 Session/Subsession Termination Initiated by the V-PCRF

This procedure is triggered by a Gateway Control Session Termination procedure over Gxx interface. When the V-PCRF receives a CCR command with a CC-Request-Type AVP set to 'TERMINATION\_REQUEST' from the BBERF over Gxx, it shall acknowledge this message by sending the CCA command to the BBERF as defined in 3GPP TS 29.212 [3]. If in addition to the Gateway Control Session being terminated, one or more Gateway Control Sessions corresponding to the PDN connection for case 2b or to the user for case 2a exist the V-PCRF shall follow the procedures for Multiple BBERF Handling described in clause 4.5.2.5; otherwise the V-PCRF shall do the following:

- 1) Terminate the S9 session, if as a consequence of the Gateway Control Session Termination over Gxx, the last S9 subsession for that roaming user is terminated. In order to do that, the V-PCRF shall terminate the related S9 session by sending a CCR command with a CC-Request-Type AVP set to 'TERMINATE\_REQUEST' to the H-PCRF.

When the H-PCRF receives the CCR, it shall acknowledge this message by sending a CCA to the V-PCRF.

- 2) Update the S9 session, if there are remaining S9 subsessions for the roaming user. The V-PCRF shall modify the related S9 session by sending a CCR with a CC-Request-Type AVP set to 'UPDATE\_REQUEST' to the H-PCRF. The V-PCRF shall include in the CCR the Subsession-Enforcement-Info and set the Subsession-Operation AVP to 'TERMINATION' for each S9 subsession of a particular UE that is terminated.

When the H-PCRF receives the CCR, it shall acknowledge this message by sending a CCA to the V-PCRF. The H-PCRF shall include the Subsession-Decision-Info AVP within the CCA command with the removed Subsession-Id AVP and the Result-Code AVP.

On receipt of the CCA command, the V-PCRF shall remove the session information stored for that Gateway Control Session.

#### 4.5.2.4 S9 Session/Subsession Termination Initiated by the H-PCRF

The H-PCRF may request the termination of a S9 session/subsession to the V-PCRF.

The H-PCRF decides to terminate a S9 session/subsession due to an internal trigger or trigger from the SPR. The following cases can be distinguished:

- If the H-PCRF considers that the S9 session has to be terminated, the H-PCRF shall send an RAR command to the V-PCRF indicating the termination of the S9 subsession by including the Session-Release-Cause AVP. The V-PCRF shall send a corresponding RAA command to the H-PCRF.
- If the H-PCRF considers that the S9 subsession has to be terminated, the H-PCRF shall send an RAR command to the V-PCRF indicating the termination of the S9 subsession by including the Session-Release-Cause AVP within the Subsession-Decision-Info AVP. When the V-PCRF receives the RAR command it shall answer it by issuing the corresponding RAA command.

The V-PCRF shall trigger the termination of the corresponding Gxx session(s) over Gxx interface by applying the Gateway Control session termination procedures as defined in 3GPP TS 29.212 [3] clause 4a.5.3.

#### 4.5.2.5 Multiple BBERF Handling

The H-PCRF distinguishes two types of BBERFs: primary and non-primary according to 3GPP TS 29.212 [3]. The V-PCRF interacts with the H-PCRF in the following instances:

##### 1) Upon Gateway Control Session establishment over Gxx:

When the V-PCRF has received a CCR for Gateway Control Session Establishment from a new BBERF that is related with an existing gateway control session, the V-PCRF modifies the S9 session by sending a CCR command to inform the H-PCRF of the new Gateway Control Session. The V-PCRF shall include the Multiple-BBERF-Action AVP set to the value "ESTABLISHMENT" and the AN-GW-Address AVP to distinguish the information from the new BBERF and to allow the H-PCRF operating on any of the BBERF separately.

- If case 2a applies, the Multiple-BBERF-Action AVP and the AN-GW-Address AVP are included at command level.
- If case 2b applies, the Multiple-BBERF-Action AVP and the AN-GW-Address AVP are included in the Subsession-Enforcement-Info AVP that contains the allocated S9 subsession identifier within the Subsession-Id AVP and the Subsession-Operation AVP set to the value "MODIFICATION".

When the H-PCRF receives the CCR command, the H-PCRF shall apply the procedures defined in 3GPP TS 29.212 [3] to detect if the new BBERF is primary or not and will act accordingly by answering with a CCA command. Within the CCA command the H-PCRF may include new decisions at either the command level for case 2a or at the subsession level for case 2b for the affected BBERF.

If the same changes are applied to all BBERFs, the H-PCRF shall not include AN-GW-Address AVP within the CCA command. If different decisions are applied to different BBERFs, the H-PCRF shall include, in the CCA command, the AN-GW-Address AVP that was included in the CCR command and the associated QoS rules and event triggers for that BBERF. The H-PCRF shall provide the updated QoS rules and event triggers to the remaining BBERF(s) within RAR command(s) by initiating the QoS rule provision procedure for each of the remaining BBERF(s). In each RAR command, the H-PCRF shall include the AN-GW-Address AVP in order to identify the target BBERF.

##### 2) Upon Gateway Control Session modification over Gxx:

When the V-PCRF receives a CCR command from any of the BBERFs for Gateway Control Session modification, the V-PCRF shall follow the same procedures as described above for Gateway Control Session Establishment case and include AN-GW-Address AVP within the CCR command to the H-PCRF. The H-PCRF

also follows the same procedures in determining whether to include AN-GW-Address AVP or not in the CCA command.

3) Upon QoS rule provisioning:

When provisioning different QoS rules, the H-PCRF shall include the different QoS rules within separate RAR commands, and shall also include the AN-GW-Address AVP with the value set to the BBERF address to indicate the actual BBERF where the rules are to be applied. The H-PCRF may also include subscription for any event trigger by including the Event-Trigger AVP with the corresponding value. For case 2a, the AN-GW-Address AVP is included at the command level; for case 2b, the AN-GW-Address AVP is included at the subsession level.

When provisioning the same QoS rules to all the BBERFs, the H-PCRF shall include the QoS rules within the same RAR command without including the AN-GW-Address AVP.

4) Upon Gateway Control Session termination over Gxx:

When the V-PCRF receives a CCR command from any of the BBERFs for Gateway Control Session Termination, the V-PCRF shall modify the S9 session by sending CCR command to inform the H-PCRF the Gateway Control Session terminated. The V-PCRF shall include the Multiple-BBERF-Action AVP set to the value "TERMINATION" and the AN-GW-Address AVP to identify the BBERF initiating the termination.

- For case 2a, the Multiple-BBERF-Action AVP and the AN-GW-Address AVP are included at the command level.
- For case 2b, the Multiple-BBERF-Action AVP and the AN-GW-Address AVP are included in the Subsession-Enforcement-Info AVP that contains the allocated S9 subsession identifier within the Subsession-Id AVP and the Subsession-Operation AVP set to the value "MODIFICATION".

When the H-PCRF receives the CCR command, the H-PCRF shall delete the QoS rules related to the BBERF identified by the AN-GW-Address AVP.

NOTE: For case 2b the old BBERF always initiates the termination of the Gateway Control Session.

#### 4.5.2.6 Deferred Session Linking Handling

This procedure takes place during the inter-system BBERF relocation for case 2b.

When the V-PCRF receives a CCR for Gateway Control Session Establishment including Session-Linking-Indicator AVP set to the value "SESSION\_LINKING\_DEFERRED" from a new BBERF related with an existing Gateway Control session (i.e. the new Gateway Control session has the same values in the Subscription-Id AVP and Called-Station-Id AVP as the existing Gateway Control session), the V-PCRF shall establish a new S9 subsession by sending a CCR command including the Subsession-Enforcement-Info AVP with a new S9 subsession identifier assigned by the V-PCRF within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "ESTABLISHMENT" and the Session-Linking-Indicator AVP set to the value "SESSION\_LINKING\_DEFERRED". The V-PCRF shall keep the mapping between the new Gateway Control session and the new S9 subsession.

After the H-PCRF receives the CCR command as described above from the V-PCRF, the H-PCRF applies the same deferred session linking procedure as described in clause 4a.5.6 of 3GPP TS 29.212 except that the Gateway Control Session is replaced by the S9 subsession.

#### 4.5.2.7 Session Linking Handling When Multiple PDN Connection to a single APN is supported

This procedure takes place in case 2b.

When the V-PCRF receives a CCR for Gateway Control Session Establishment with the PDN Connection ID included in the PDN-Connection-ID AVP in addition to the user identity included in Subscription-Id AVP and the PDN ID included in Called-Station-Id AVP, the following procedures are applied:

- If there is not an already established S9 session for this roaming user, the V-PCRF shall send to the H-PCRF a CCR command with the CC-Request-Type set to the value "INITIAL\_REQUEST" to establish a new S9 session. The V-PCRF shall include the Subsession-Enforcement-Info AVP within the CCR command with a new S9

subsession identifier assigned by the V-PCRF within the Subsession-Id AVP, PDN Connection ID within the PDN-Connection-ID AVP, the user identity within the Subscription-Id AVP, the PDN ID within the Called-Station-Id AVP and the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall keep the mapping between new Gateway Control Session and the new S9 subsession. When the H-PCRF receives the CCR for IP-CAN Session Establishment from the PCEF that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new S9 subsession, the H-PCRF shall link the Gx session with the new S9 subsession.

- If an existing S9 session for the roaming user is already established and if no Gateway Control Session for the same PDN ID exists or at least one Gateway Control Session for same PDN ID exists but the IP-CAN type received in the the CCR command has not been modified, the V-PCRF sends a CCR command to the H-PCRF to establish a new S9 subsession by including the Subsession-Enforcement-Info AVP that contains a new S9 subsession identifier within the Subsession-Id AVP, PDN Connection ID within the PDN-Connection-ID AVP, the user identity within the Subscription-Id AVP, the PDN ID within the Called-Station-Id AVP and the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall keep the mapping between new Gateway Control Session and the new S9 subsession. When the H-PCRF receives the CCR for IP-CAN Session Establishment from the PCEF that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new S9 subsession, the H-PCRF shall link the Gx session with the new S9 subsession.
- If at least one Gateway Control Session for same PDN ID exists and the IP-CAN type received in the CCR command has been modified, the V-PCRF assumes that this constitutes an inter-system BBERF relocation. The V-PCRF sends a CCR command to the H-PCRF to establish a new S9 subsession by including the Subsession-Enforcement-Info AVP that contains a new S9 subsession identifier within the Subsession-Id AVP, PDN Connection ID within the PDN-Connection-ID AVP, the user identity within the Subscription-Id AVP, the PDN ID within the Called-Station-Id AVP and the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall keep the mapping between the new Gateway Control Session and the new S9 subsession. When the H-PCRF receives the CCR for IP-CAN Session Modification from the PCEF that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new S9 subsession, the H-PCRF shall link the Gx session with the new S9 subsession.

## 4.5.3 Visited Access

### 4.5.3.1 Request PCC and QoS Rules

The V-PCRF shall request for PCC or QoS rules from the H-PCRF in the following instances:

- 1) A Diameter CCR command as defined in clause 4.5.1 of 3GPP TS 29.212 [3] is received by the V-PCRF from the PCEF requesting PCC Rules for a roaming user and/or informing that an installed event trigger has been detected in this case the affected PCC Rules are included by the PCEF.
- 2) A Diameter CCR command as defined in clause 4a.5.1 of 3GPP TS 29.212 [3] is received by the V-PCRF from the BBERF requesting QoS Rules for a roaming user and/or informing that an installed event trigger has been detected in this case the affected QoS Rules are included by the BBERF. The procedures within clause 4.5.3.5 shall be applied if during a multiple BBERF scenario the request is coming from a non-primary BBERF.

The V-PCRF shall store the information received in the CCR command from the BBERF/PCEF and send a new request over S9 as follows:

- If an existing S9 session for the roaming user does not already exist with the H-PCRF, the V-PCRF shall establish a new S9 session with the H-PCRF by sending a CCR command with the CC-Request-Type AVP set to the value 'INITIAL\_REQUEST', to the H-PCRF.
- If an existing S9 session for the roaming user is already established with the H-PCRF, the V-PCRF shall update the existing session by sending a CCR command with the CC-Request-Type AVP set to the value "UPDATE\_REQUEST" to the H-PCRF.

The V-PCRF shall include within the CCR command those attributes provided by the BBERF and PCEF as defined in clause 4a.5.1 and 4.5.1 of 3GPP TS 29.212 [3] respectively.

- In case 2a if the original CCR command is received from the BBERF, the V-PCRF shall include the attributes provided by the BBERF at the Diameter CCR command level. If the original CCR command is received from

the PCEF, the V-PCRF shall include the attributes provided by the PCEF at the S9 subsession level by including the Subsession-Enforcement-Info AVP with the corresponding Subsession-Id AVP.

- In case 2b, the V-PCRF shall refer the request to the corresponding S9 subsession by including, within the CCR command the Subsession-Enforcement-Info AVP with the corresponding Subsession-Id AVP and shall also include those attributes provided by the BBERF/PCEF.

For both case 2a and case 2b,

- If new subsessions are created the V-PCRF shall include within the Subsession-Enforcement-Info AVP, the Subsession-Id AVP set to the value of a new subsession identifier, the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall map the Gxx or Gx session-id(s) to the corresponding subsession-id(s) in the S9 session.

NOTE: For case 2a, a new subsession will be created only when the original received Diameter CCR from the PCEF indicates an establishment request for a new Gx session. This is applicable also to case 2b although alternatively, the new subsession might be created upon the reception of the gateway control session establishment and be further modified when the corresponding IP-CAN session establishment arrives to the V-PCRF.

- If already existing subsessions are modified the V-PCRF shall set the Subsession-Operation AVP value within the Subsession-Enforcement-Info AVP to "MODIFICATION".

If the H-PCRF is, due to incomplete, erroneous or missing information (e.g. subscription related information not available or authorized QoS exceeding the subscribed bandwidth) not able to:

- 1) Provision a policy decision to one or more of the S9 subsession(s) within the CCR command sent by the V-PCRF, the H-PCRF shall send a CCA command including the S9 specific experimental result code `DIAMETER_ERROR_SUBSESSION` (5470) at the command level. For each of the rejected subsessions, the H-PCRF shall include the Subsession-Decision-Info AVP with the rejected Subsession-Id within the Subsession-Id AVP and the appropriate error code within either the Experimental-Result-Code AVP or Result-Code AVP. For each of the successful subsessions, the H-PCRF shall include the Subsession-Decision-Info AVP with the corresponding Subsession-Id AVP and any PCC rules to be provisioned.
- 2) Provision a policy decision to a CCR command sent by the V-PCRF with no S9 subsession information, the H-PCRF shall reject the request using a CCA command with the `DIAMETER_ERROR_INITIAL_PARAMETERS` (5140) within the Experimental-Result-Code AVP.

NOTE: CCR command with no subsession information is only used in case 2a.

When the V-PCRF receives a CCA command with an error code within the Experimental-Result-Code AVP or Result-Code AVP at the command level, the V-PCRF shall reply to the BBERF over the corresponding gateway control session with a CCA command including the same result code.

When the V-PCRF receives a CCA command including QoS rules at command level, with no subsession information and indicating success status at the command level, the V-PCRF shall validate the QoS rules contained in the CCA. If the QoS validation fails the V-PCRF shall perform the following:

- 1) Reply to the BBERF over Gxx with a CCA command including the Gx experimental result code `DIAMETER_ERROR_INITIAL_PARAMETERS` (5140).
- 2) Send a CCR command to the H-PCRF including the QoS-Rule-Report AVP to indicate the QoS Rules that were not accepted, the Rule-Failure-Code AVP set to `UNSUCCESSFUL-QOS-VALIDATION`, and the QoS-Information AVP to indicate the acceptable QoS.

When the V-PCRF receives a CCA command including QoS rules at command level, with no subsession information and indicating success status at the command level and if the QoS validation is successful, the V-PCRF shall follow the procedures described in 3GPP TS 29.212 [3] to provision the QoS rules to the BBERF. If after provisioning the QoS rules to the BBERF, the V-PCRF receives a notification from the BBERF informing that an operation on one or more QoS rule has failed, the V-PCRF shall immediately inform the H-PCRF. The V-PCRF shall send a CCR command with the CC-Request-Type AVP set to the value `UPDATE_REQUEST` to the H-PCRF including the QoS-Rule-Report AVP to indicate the QoS rules that were affected at the command level. The H-PCRF may decide to reinstall, modify or remove the affected QoS rules as described in this clause or terminate the S9 session/subsession as described in clause 4.5.3.4.

When the V-PCRF receives a CCA command where the S9 specific subsession contains a specific error code within a Result-Code or Experimental-Result-Code AVP from the H-PCRF, the V-PCRF shall inform the trigger(s) of the related CCR command (i.e. BBERF and/or PCEF) with a CCA command including the same result code.

When the V-PCRF receives a CCA command where the S9 specific subsession indicates success status, the V-PCRF shall validate the PCC rules contained in the CCA. If the validation fails, the V-PCRF shall perform the following:

- 1) if the original CCR was received from a BBERF, reply to the BBERF over the corresponding gateway control session with a CCA command including the Gx experimental result code `DIAMETER_ERROR_INITIAL_PARAMETERS` (5140), or if the original CCR was received from a PCEF, reply to the PCEF over the corresponding Gx session with a CCA command including the same result code.
- 2) Send a CCR command to the H-PCRF including Subsession-Enforcement-Info AVP with the corresponding Subsession-Id and include the Charging-Rule-Report AVP to indicate the PCC Rules that were not accepted, the Rule-Failure-Code AVP set to `UNSUCCESSFUL-QOS-VALIDATION`, and the QoS-Information AVP to indicate the acceptable QoS. The V-PCRF shall set the Subsession-Operation AVP to the value 'TERMINATION' if the CCR used to request the rules was creating a new subsession.

When the V-PCRF receives a CCA command where the S9 specific subsession indicates success status and if the QoS validation is successful, the V-PCRF shall derive QoS rules based on the PCC rules received. The V-PCRF shall follow the procedures described in 3GPP TS 29.212 [3] to provision the PCC/QoS rules to the PCEF and BBERF respectively using, if the PCEF/BBERF sent the original CCR command, CCA command or, if the PCEF/BBERF did not send the original CCR command, RAR command.

**NOTE:** Provisioning rules within RAR command can be needed for those cases when the V-PCRF receives CCR command related with a particular event from only the BBERF or only the PCEF. For example, an event-trigger such as `QOS_CHANGE` can trigger only the BBERF to send the CCR command while an event-trigger such as `OUT_OF_CREDIT` can trigger only the PCEF to send the CCR command.

If after provisioning the rules to the PCEF/BBERF, the V-PCRF receives a notification from the PCEF (case 1, 2a, 2b) or the BBERF (case 2a and 2b) or both the PCEF and the BBERF informing that an operation on a PCC/QoS rule has failed, the V-PCRF shall inform the H-PCRF. The V-PCRF shall send a CCR command with the CC-Request-Type AVP set to the value `UPDATE_REQUEST` to the H-PCRF including the Charging-Rule-Report AVP to indicate the PCC rules that were affected at the subsession level by including the Subsession-Enforcement-Info AVP identifying the affected S9 subsession within the Subsession-Id AVP, the Subsession-Operation AVP set to the value 'MODIFICATION'. The H-PCRF may decide to reinstall, modify or remove the affected PCC rules as described in this clause or terminate the S9 session/subsession as described in clause 4.5.3.4.

#### 4.5.3.2 PCC and QoS Rules Provisioning

The H-PCRF shall provision, via the S9 reference point, PCC and QoS rules, using one of the following procedures:

- **PULL procedure** (Provisioning solicited by the V-PCRF): In response to a request for PCC rules being made by the V-PCRF, as described in the preceding section, to provide QoS rules for case 2a where no corresponding PCC rules are sent, the H-PCRF shall provision QoS rules in the CCA by including the QoS-Rule-Install AVP at the command level; for other cases, the H-PCRF shall provision PCC rules in the CCA command by including the Charging-Rule-Install AVP within the Subsession-Decision-Info AVP on the S9 subsession(s) that requested for PCC rules. or in response to a request for PCC Rules being made by the V-PCRF, as described in the preceding section instance
- **PUSH procedure** (Unsolicited provisioning from the H-PCRF). The H-PCRF may decide to provision (install, modify or remove) PCC Rules without obtaining a request from the V-PCRF, e.g. in response to information provided to the H-PCRF from the AF (either in the visited or in the home network), or in response to an internal trigger within the H-PCRF, or from a trigger by the SPR. To install or modify PCC Rules without a request from the V-PCRF for case 2a when no corresponding PCC rules are sent, the H-PCRF shall provision QoS rules in the RAR by including the QoS-Rule-Install AVP at the command level; to provision PCC Rules without a request from the V-PCRF, the H-PCRF shall include these PCC Rules in an RAR command by including the Charging-Rule-Install AVP on the related S9 subsessions within the Subsession-Decision-Info AVP. To remove installed PCC Rules without a request from the V-PCRF, the H-PCRF shall include these PCC Rules in a RAR command by including the Charging-Rule-Remove AVP on the related S9 subsessions within the Subsession-Decision-Info AVP.

The V-PCRF shall validate the QoS information contained within the PCC rules of the CCA/RAR command. If the QoS validation fails or other error conditions occur for PCC rules provisioned within the CCA command from the H-PCRF, the V-PCRF shall follow the procedures specified in clause 4.5.3.1 for error handling. Otherwise, if the QoS validation fails or other error conditions occur when provisioning PCC rules using the RAR command, the procedures below apply.

If the QoS information is provisioned at the command level and the validation fails, the V-PCRF shall respond back to the H-PCRF by issuing an RAA command that includes, at the command level, the `DIAMETER_PCC_RULE_EVENT` (5142) experimental result code, the `QoS-Rule-Report` AVP to indicate the QoS Rules that were not accepted, the `Rule-Failure-Code` AVP set to `UNSUCCESSFUL-QOS-VALIDATION`, and the `QoS-Information` AVP to indicate the acceptable QoS.

If the QoS information is provisioned at the command level and the validation is successful, the V-PCRF shall follow the procedures described in 3GPP TS 29.212 [3] to provision the QoS rules to the BBERF. If after provisioning the rules to the BBERF, the V-PCRF receives a notification from the BBERF informing that an operation on a QoS rule has failed, the V-PCRF shall immediately inform the H-PCRF. The V-PCRF shall send a RAA command to the H-PCRF including the `QoS-Rule-Report` AVP to indicate the QoS rules that were affected at the command level. The H-PCRF may decide to reinstall, modify or remove the affected Rules as described in this clause or terminate the S9 session/subsession as described in clause 4.5.3.4. If the provisioning of the rules was successful, the V-PCRF shall inform the H-PCRF by sending a RAA command containing, at the command level, the information included in the notification received from the BBERF.

If the QoS information is provisioned at the subsession level and the validation for all subsession fails, the V-PCRF shall send a RAA command to the H-PCRF, including the `Subsession-Enforcement-Info` AVP for each rejected S9 subsession. Each `Subsession-Enforcement-Info` AVP includes the rejected `Subsession-Id`, a `DIAMETER_PCC_RULE_EVENT` (5142) experimental result code, the `Charging-Rule-Report` AVP to indicate the PCC Rules that were not accepted, the `Rule-Failure-Code` AVP set to `UNSUCCESSFUL-QOS-VALIDATION`, and the `QoS-Information` AVP to indicate the acceptable QoS.

If the QoS information is provisioned at the subsession level and the validation for one or more subsession is successful, the V-PCRF shall provision the validated rules to the PCEF/BBERF first. For all validated PCC rules, the V-PCRF derives QoS rules based on the PCC rules. The V-PCRF follows the procedures specified in 3GPP TS29.212 [3] to provision the rules to the BBERF/PCEF.

If after provisioning the rules to the PCEF/BBERF, the V-PCRF receives a notification from either the PCEF (case 1, 2a, 2b) or the BBERF (case 2a and 2b) informing that an operation on a PCC/QoS rule has failed, the V-PCRF shall inform the H-PCRF.

After obtaining the QoS validation and rules installation (if applicable) result, the V-PCRF shall send a RAA command to the H-PCRF and for each subsession, include the `Subsession-Enforcement-Info` AVP with the `Subsession-Id` AVP. In addition, for each subsession, the `Subsession-Enforcement-Info` shall include,

- if the QoS validation failed at the V-PCRF, a `DIAMETER_PCC_RULE_EVENT` (5142) experimental result code, the `Charging-Rule-Report` AVP to indicate the PCC Rules that were not accepted, the `Rule-Failure-Code` AVP set to `UNSUCCESSFUL-QOS-VALIDATION`, and the `QoS-Information` AVP to indicate the acceptable QoS.
- if the V-PCRF received notification from the BBERF/PCEF indicating failure in provision, the `Experimental-Result-Code` AVP or `Result-Code` AVP received from the PCEF if available or from the BBERF otherwise, the `Charging-Rule-Report` AVP to indicate the failed PCC Rules, and any other additional information received from the BBERF/PCEF.
- if the provision was successful, the result-code and other information received from the PCEF/BBERF.

The result code or the experimental result code at the RAA command level shall be set to the following value:

- `DIAMETER_SUCCESS` (2001), if all subsessions have been provisioned successfully;
- `DIAMETER_ERROR_SUBSESSION` (5470), if one or more S9 subsessions have failed.

For failed PCC rules, the H-PCRF may decide to reinstall, modify or remove the affected PCC Rules as described in this clause or terminate the S9 session/subsession as described in clause 4.5.3.4.



#### 4.5.3.3 S9 Session/Subsession Termination Initiated by V-PCRF.

When the V-PCRF receives an indication of an IP-CAN Session Termination from the PCEF or an indication of Gxx session termination from the BBERF, the V-PCRF shall acknowledge the received message by sending the CCA command to the PCEF or the BBERF as defined in 3GPP TS 29.212 [3]. In addition, the V-PCRF shall indicate to the H-PCRF one of the following actions:

- 1) Terminate the S9 session, if in case 2a, the Gxx session is removed or in case 2b, the last S9 subsession for the roaming user is removed. The V-PCRF shall terminate the S9 session with the H-PCRF by sending a CCR with the CC-Request-Type AVP set to the value "TERMINATION\_REQUEST".
- 2) Update the S9 session for the roaming user, if there are remaining S9 subsessions for the roaming user. The V-PCRF shall update the existing S9 session with the H-PCRF by sending a CCR command with CC-Request-type AVP set to value 'UPDATE-REQUEST' that includes the Subsession-Enforcement-Info AVP with the removed S9 subsession identifier within the Subsession-Id AVP, the Subsession-Operation AVP set to the value 'TERMINATION'.

NOTE: In case 2b, when the V-PCRF receives a Gxx session termination request from the BBERF (i.e. a CCR command with CC-Request-Type AVP set to value 'TERMINATION\_REQUEST'), it handles it as specified in 3GPP TS 29.212 [3] without impacting S9.

When receiving the CCR command, the H-PCRF shall perform the following steps:

- 1) Identify the removed PCC Rules associated to the terminated S9 session or S9 subsession;
- 2) If an IP-CAN session is terminated, check whether the H-AF shall be informed and if the H-AF needs to be informed, send an ASR command as defined in clause 4.4.6.1 of 3GPP TS 29.214 [5]

The H-PCRF answers to the V-PCRF by issuing a CCA command.

#### 4.5.3.4 S9 Session/Subsession Termination Initiated by the H-PCRF.

The H-PCRF may decide to terminate an S9 session or S9 subsession based on an internal trigger or a trigger from the SPR. When any of these triggers are met, the H-PCRF shall initiate a S9 session or S9 subsession termination by sending an RAR command to the V-PCRF as defined in clause 4.5.2.4.

#### 4.5.3.5 Multiple BBERF Handling

The V-PCRF distinguishes two types of BBERF: primary and non-primary according to 3GPP TS 29.212 [3].

The V-PCRF shall ensure that the QoS rules are aligned with the PCC rules on all BBERFs as specified in TS 29.212 [3] clause 4a.5.7

The V-PCRF shall handle Gateway control session establishment and Gateway QoS request messages from a new BBERF locally.

When, due to handover, the V-PCRF receives an IP CAN session modification from the PCEF with the event trigger set to AN\_GW\_CHANGE the V-PCRF shall send a CCR message to the H-PCRF with the Event-Trigger AVP at subsession level set to AN\_GW\_CHANGE, provided the H-PCRF has subscribed to this event-trigger. If the CCR message from the PCEF also includes the IP-CAN\_CHANGE event-trigger, the V-PCRF shall reclassify the primary/non-primary BBERFs based on the received IP-CAN type, and shall include this trigger as well in the CCR message sent to the H-PCRF, provided the H-PCRF has subscribed to it. If there is any subsequent request coming from the primary BBERF, the V-PCRF shall act according to the normal procedures specified in clause 4.5.3 and corresponding subclauses.

If the H-PCRF has not subscribed to either the AN\_GW\_CHANGE or the IP-CAN\_CHANGE event, the V-PCRF shall not inform the H-PCRF of this scenario and should solve it according to local policies and roaming agreements.

### 4.5.3.6 Rx Over S9

#### 4.5.3.6.1 General

The interaction between the V-AF and the V-PCRF is in accordance with 3GPP TS 29.214 [5]. The V-PCRF may act as a Diameter Proxy or client/server to send the Rx messages between the V-AF and the H-PCRF except as noted below.

The V-PCRF may process the initial or modified Service Information received from the V-AF according to the operator policy to decide whether the request is accepted or not. If the service information provided by the V-AF is rejected, the V-PCRF shall send the AAA to reject the request with the Experimental-Result-Code AVP set to the value REQUESTED\_SERVICE\_NOT\_AUTHORIZED. In this case, the V-PCRF shall not forward the AAR to the H-PCRF.

The V-PCRF shall not forward the AAR message from the V-AF to the H-PCRF if the processing of the request results in any of the specific values of the 'Rx specific Experimental-Result-Code' per clause 5.5 of 3GPP TS 29.214 [5].

**Editor's Note:** Optimization of the AF signalling channel and handling of the AF subscription events is FFS.

#### 4.5.3.6.2 Event Handling

##### 4.5.3.6.2.1 V-AF Subscription to Notification of Signalling Path Status

A V-AF may subscribe to notifications of the status of the AF Signalling transmission path by including the Specific-Action AVP with the corresponding value as described in section 4.4.5 of 3GPP TS 29.214 [9].

When the V-PCRF receives an AAR command for the establishment of the AF signalling session from the V-AF, the V-PCRF, depending on operator policy, may not forward the AAR message to the H-PCRF. In this case, the V-PCRF handles the AF signalling session locally and shall acknowledge the AAR command by sending an AAA command to the V-AF and follow the procedures described in clause 4.4.5 of 3GPP TS 29.212 [9]. Otherwise, the V-PCRF proxies the AAR to the H-PCRF.

##### 4.5.3.6.2.2 Reporting of Signalling Path Status

If the V-PCRF is handling the AF signalling session locally with the V-AF (i.e. the V-PCRF is not proxying the AF signalling session to the H-PCRF) and subscribed to the signalling path status specific actions ("INDICATION\_OF\_LOSS\_OF\_BEARER" and/or 'INDICATION\_OF\_RELEASE\_OF\_BEARER'), and the V-PCRF is notified of the loss or release of resources associated to the PCC Rules corresponding with V-AF Signalling IP Flows, the V-PCRF shall inform the V-AF about the Loss of the Signalling Transmission Path by sending a Re-Authorization Request (RAR) command to the V-AF per section 4.4.6.3 of TS 29.214 [9].

The V-PCRF shall send a CCR message to the H-PCRF over the S9 interface reporting this event trigger only if the H-PCRF has previously subscribed to the corresponding event trigger.

##### 4.5.3.6.2.3 Reporting IP-CAN Type Change Notification

If the V-PCRF is handling the AF signalling session locally with the V-AF (i.e. the V-PCRF is not proxying the AF signalling session to the H-PCRF) and the V-AF has subscribed for change notification in UE's IP-CAN type, then the V-PCRF shall send a RAR command when there is a change in the UE's IP-CAN type per section 4.4.6.4 of TS 29.214 [9].

The V-PCRF shall send a CCR message to the H-PCRF over the S9 interface reporting this event trigger only if the H-PCRF has previously subscribed to the corresponding event trigger.

### 4.5.3.7 Deferred Session Linking Handling

This procedure takes place during the inter-system BBERF relocation for case 2b.

When the V-PCRF receives a CCR for Gateway Control Session Establishment including Session-Linking-Indicator AVP set to the value "SESSION\_LINKING\_DEFERRED" from a new BBERF related with an existing Gateway Control session (i.e. the new Gateway Control session has the same values in the Subscription-Id AVP and Called-

Station-Id AVP as the existing Gateway Control session), the V-PCRF shall acknowledge by sending a CCA to the BBERF and shall not send the CCR to the H-PCRF to update the S9 session immediately.

If the V-PCRF receives the CCR for IP-CAN session modification that has the same values in the Subscription-Id AVP and Called-Station-Id AVP as the new Gateway Control session, the V-PCRF shall link the new Gateway Control session with the existing Gx session, and then send a CCR to H-PCRF to modify the S9 subsession by including the Subsession-Enforcement-Info AVP within the CCR command that contains the already allocated S9 subsession identifier within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "MODIFICATION". The V-PCRF shall keep the mapping between the new Gateway Control session, the existing Gx session and the S9 subsession. The Multiple BBERF handling procedures described in clause 4.5.3.5 are also applicable now.

If the V-PCRF receives the CCR for IP-CAN session establishment that has the same values in the Subscription-Id AVP and Called-Station-Id AVP as the new Gateway Control session, the V-PCRF shall link the new Gateway Control session with the new Gx session, and then send a CCR command to H-PCRF to establish a new S9 subsession by including the Subsession-Enforcement-Info AVP within the CCR command that contains a new S9 subsession identifier within the Subsession-Id AVP, the Subsession-Operation AVP set to the value "ESTABLISHMENT". The V-PCRF shall keep the mapping between the new Gateway Control session, the new Gx session and the new S9 subsession.

#### 4.5.3.8 Session Linking Handling When Multiple PDN Connection to a single APN is supported

This procedure takes place in case 2b.

When the V-PCRF receives a CCR for Gateway Control Session Establishment with the PDN Connection ID included in the PDN-Connection-ID AVP in addition to the user identity included in Subscription-Id AVP and the PDN ID included in Called-Station-Id AVP, the following procedures are applied:

- If there is not an already established S9 session for this roaming user, the V-PCRF shall send to the H-PCRF a CCR command with the CC-Request-Type set to the value "INITIAL\_REQUEST" to establish a new S9 session. The V-PCRF shall include the Subsession-Enforcement-Info AVP within the CCR command with a new S9 subsession identifier assigned by the V-PCRF within the Subsession-Id AVP and the Subsession-Operation AVP set to the value "ESTABLISHMENT". The PDN Connection ID shall not be sent to the H-PCRF. When the V-PCRF receives the CCR for IP-CAN Session Establishment from the PCEF that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new Gateway Control Session, the V-PCRF shall link the new Gateway Control Session with the Gx session. The V-PCRF shall keep the mapping between the new Gateway Control Session, the new Gx session and the new S9 subsession.
- If an existing S9 session for the roaming user is already established and if no Gateway Control Session for the same PDN ID exists or at least one Gateway Control Session for same PDN ID exists but the IP-CAN type received in the CCR command has not been modified, and the PDN Connection ID received in the CCR command is different the V-PCRF sends a CCR command to H-PCRF to establish a new S9 subsession by including the Subsession-Enforcement-Info AVP within the CCR command that contains a new S9 subsession identifier within the Subsession-Id AVP and the Subsession-Operation AVP set to the value "ESTABLISHMENT". The PDN Connection ID shall not be sent to the H-PCRF. When the V-PCRF receives the CCR for IP-CAN Session Establishment from the PCEF that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new Gateway Control Session, the V-PCRF shall link the new Gateway Control Session with the Gx session. The V-PCRF shall keep the mapping between the new Gateway Control Session, the new Gx session and the new S9 subsession.
- If at least one Gateway Control Session for same PDN ID exists and the IP-CAN type received in the CCR command has been modified, the V-PCRF assumes that this constitutes an inter-system BBERF relocation. The V-PCRF shall not link the new Gateway Control Session with any Gx session and shall not contact with the H-PCRF immediately. When the V-PCRF receives a CCR command for IP-CAN Session Modification that has the same values in the Subscription-Id AVP, Called-Station-Id AVP and PDN-Connection-ID AVP as the new Gateway Control Session, the V-PCRF shall link the new Gateway Control Session with the Gx session, and then shall send a CCR command to H-PCRF to modify the S9 subsession by including the Subsession-Enforcement-Info AVP within the CCR command that contains the already allocated S9 subsession identifier within the Subsession-Id AVP and the Subsession-Operation AVP set to the value "MODIFICATION". The V-PCRF shall keep the mapping between the new Gateway Control session, the Gx session and the S9 subsession.

## 4.5.4 IMS Emergency services

The S9 interface is not applicable for IMS Emergency services.

In case 2a, the V-PCRF upon reception of a CCR command with a CC-Request-Type AVP set to "INITIAL\_REQUEST" from the PCEF over Gx shall check if the Called-Station-Id AVP includes a PDN identifier that matches one of the Emergency APNs from the configurable list specified in 3GPP TS 29.212 [3]. If the V-PCRF identifies that the request for PCC Rules is restricted to Emergency services then shall send a CCA command to the PCEF to provision PCC Rules and then the V-PCRF may provision QoS Rules to the BBERF as specified in 3GPP TS 29.212 [3].

NOTE: In case 2a, the V-PCRF detects that an IP-CAN session is for Emergency Services at reception of the request for PCC Rules for Emergency purposes over Gx.

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# 5. S9 Protocol

## 5.1 Protocol Support

The S9 application is defined as a vendor specific Diameter application, where the vendor is 3GPP and the Application-ID for the S9 Application in the present release is 16777267. The vendor identifier assigned by IANA to 3GPP (<http://www.iana.org/assignments/enterprise-numbers>) is 10415.

NOTE: A route entry can have a different destination based on the application identification AVP of the message. Therefore, Diameter agents (relay, proxy, redirection, translation agents) must be configured appropriately to identify the 3GPP S9 application within the Auth-Application-Id AVP in order to create suitable routing tables.

Due to the definition of the commands used in the S9 protocol, there is no possibility to skip the Auth-Application-Id AVP and use the Vendor-Specific-Application-Id AVP instead. Therefore the S9 application identification shall be included in the Auth-Application-Id AVP.

With regard to the Diameter protocol defined over the S9 interface, the H-PCRF acts as a Diameter server, in the sense that it is the network element that handles PCC/QoS rule requests for a particular realm. The V-PCRF acts as the Diameter client, in the sense that it is the network element requesting PCC/QoS rules to the H-PCRF.

A Diameter S9 session used in the S9 protocol shall combine all Gx and Gxx Diameter sessions for a particular UE.

## 5.2 Initialization, maintenance and termination of connection and session

The initialization and maintenance of the connection between each V-PCRF/H-PCRF pair is defined by the underlying protocol. Establishment and maintenance of connections between Diameter nodes is described in IETF RFC 3588 [6].

After establishing the transport connection, the V-PCRF and the H-PCRF shall advertise the support of the S9 specific Application by including the value of the application identifier in the Auth-Application-Id AVP and the value of the 3GPP (10415) in the Vendor-Id AVP of the Vendor-Specific-Application-Id AVP contained in the Capabilities-Exchange-Request and Capabilities-Exchange-Answer commands. The Capabilities-Exchange-Request and Capabilities-Exchange-Answer commands are specified in the Diameter Base Protocol (RFC 3588 [6]).

The termination of the Diameter user session is specified in IETF RFC 3588 [6] in clauses 8.4 and 8.5. The description of how to use of these termination procedures in the normal cases is embedded in the procedures description (clause 4.5).

In case of roaming, when S9 protocol is used for 3GPP accesses, a V-PCRF shall use, by default, the IMSI (MNC and MCC values) of the user provided over Gxc/Gx to construct the EPC Home Network Realm/Domain, as indicated in 3GPP TS 23.003 [9], clause 19.2, and use it as Destination-Realm. However the V-PCRF may alternatively determine the Destination-Realm based on local configuration within the V-PCRF. This configuration follows specific roaming agreement between the visited and the home operators.

Editor's Note: It is FFS how Destination-Realm is determined if Subscription-ID Type is other than IMSI e.g. when S9 is used from Non-3GPP accesses.

Editor's Note: It is FFS how Destination-Realm is determined when Rx over S9 protocol is used.

## 5.3 S9 specific AVPs

Table 5.3.1 describes the Diameter AVPs defined for the S9 reference point, their AVP Code values, types, possible flag values, whether or not the AVP may be encrypted and the applicability of the AVPs to charging control, policy control or both. The Vendor-Id header of all AVPs defined in the present document shall be set to 3GPP (10415).

**Table 5.3.1: S9 specific Diameter AVPs**

Attribute Name	AVP Code	Clause defined	Value Type (note 2)	AVP Flag rules (note 1)				May Encr.	Acc. type	Applicability (note 3)
				Must	May	Should not	Must not			
Multiple-BBERF-Action	xxxx	5.3.6	Enumerated	M,V	P			Y	All	PC
Subsession-Decision-Info	2200	5.3.1	Grouped	M,V	P			Y	All	Both
Subsession-Enforcement-Info	2201	5.3.2	Grouped	M,V	P			Y	All	Both
Subsession-Id	2202	5.3.3	Unsigned32	M,V	P			Y	All	Both
Subsession-Operation	2203	5.3.4	Enumerated	M,V	P			Y	All	Both

NOTE 1: The AVP header bit denoted as 'M', indicates whether support of the AVP is required. The AVP header bit denoted as 'V', indicates whether the optional Vendor-ID field is present in the AVP header. For further details, see RFC 3588 [4].

NOTE 2: The value types are defined in RFC 3588 [4].

NOTE 3: AVPs marked with 'CC' are applicable to charging control, AVPs marked with 'PC' are applicable to policy control and AVPs marked with 'Both' are applicable to both charging control and policy control.

### 5.3.1 Subsession-Decision-Info

The Subsession-Decision-Info AVP (AVP code 2200) is of type Grouped, and it is used to manage PCC/QoS rules and event information within an S9 subsession from the H-PCRF to the V-PCRF.

The information contained within this grouped AVP pertains only to the subsession identified by the Subsession-Id AVP.

The Session-Release-Cause AVP is only applicable when the Subsession-Decision-Info AVP is provided in a RAR.

The Result-Code AVP and Experimental-Result-Code AVP are only applicable when the Subsession-Decision-Info AVP is provided in a CCA. The Result-Code AVP or Experimental-Result-Code AVP may be provided to inform the V-PCRF of possible errors when processing subsession information that was provided in a corresponding CCR command.

AVP Format:

```
Subsession-Decision-Info ::= < AVP Header: 2200 >
  { Subsession-Id }
  0*2 [ AN-GW-Address ]
  [ Result-Code ]
  [ Experimental-Result-Code ]
  * [ Charging-Rule-Remove ]
  * [ Charging-Rule-Install ]
  * [ QoS-Rule-Install ]
  * [ QoS-Rule-Remove ]
  [ Default-EPS-Bearer-QoS ]
  * [ Usage-Monitoring-Information ]
  [ Session-Release-Cause ]
  [ Bearer-Control-Mode ]
  * [ Event-Trigger ]
  [ Online ]
  [ Offline ]
  * [ QoS-Information ]
  * [ AVP ]
```

### 5.3.2 Subsession-Enforcement-Info

The Subsession-Enforcement-Info AVP (AVP code 2201) is of type Grouped, and it is used to set up and tear down subsessions, provide information about the subsession, request PCC/QoS rules and report on PCC/QoS rules and related events. This information is sent from the V-PCRF to the H-PCRF. The information contained within this grouped AVP pertains only to the subsession identified by the Subsession-Id AVP.

The following AVPs are only applicable when the Subsession-Enforcement-Info AVP is provided within a CCR: Subsession-Operation AVP, Bearer-Identifier AVP, Bearer-Operation AVP, Packet-Filter-Information AVP, Packet-Filter-Operation AVP, QoS-Information AVP, Framed-IP-Address AVP, Framed-IPv6-Prefix AVP, Called-Station-ID AVP, PDN-Connection-ID AVP, Bearer-Usage AVP, TFT-Packet-Filter-Information AVP, Online AVP and Offline AVP.

**Editor's Note: When the multiple PDN connections for the same APN are supported, the procedures over S9 are FFS.**

The following AVPs are only applicable when the Subsession-Enforcement-Info AVP is provided within an RAA: Result-Code AVP and Experimental-Result-Code AVP.

The other AVPs are applicable when the Subsession-Enforcement-Info AVP is provided in either a CCR or RAA.

The Result-Code AVP or Experimental-Result-Code AVP may be provided to inform the H-PCRF of possible errors when processing subsession information that was provided in a corresponding RAR command.

```
Subsession-Enforcement-Info ::= < AVP Header: 2201 >
  { Subsession-Id }
  [ Subsession-Operation ]
  0*2 [ AN-GW-Address ]
  [ Bearer-Identifier ]
  [ Bearer-Operation ]
  * [ Packet-Filter-Information ]
  [ Packet-Filter-Operation ]
  [ QoS-Information ]
  [ Framed-IP-Address ]
  [ Framed-IPv6-Prefix ]
  * [ CoA-Information ]
  [ Called-Station-ID ]
  [ PDN-Connection-ID ]
  [ Bearer-Usage ]
  * [ TFT-Packet-Filter-Information ]
  [ Online ]
  [ Offline ]
  [ Result-Code ]
  [ Experimental-Result-Code ]
  * [ Charging-Rule-Report ]
  * [ QoS-Rule-Report ]
  [ Default-EPS-Bearer-QoS ]
  * [ Usage-Monitoring-Information ]
  [ Multiple-BBERF-Action ]
  * [ Event-Trigger ]
  [ Access-Network-Charging-Address ]
  * [ Access-Network-Charging-Identifier-Gx ]
  [ Session-Linking-Indicator ]
  * [ AVP ]
```

### 5.3.3 Subsession-Id

The Subsession-Id AVP (AVP code 2202) is of type Unsigned32, and it is used to uniquely identify a subsession within the S9 session. The Subsession-Id AVP shall be selected by the V-PCRF.

### 5.3.4 Subsession-Operation

The Subsession-Operation AVP (AVP code 2203) is of type of Enumerated, and it indicates the operation to be performed on the subsession.

The following values are defined:

TERMINATION (0)

This value is used to indicate that a subsession is being terminated.

#### ESTABLISHMENT (1)

This value is used to indicate that a new subsession is being established.

#### MODIFICATION (2)

This value is used to indicate that an existing subsession is being modified.

### 5.3.5 Void

### 5.3.6 Multiple-BBERF-Action

The Multiple-BBERF-Action AVP (AVP code xxxx) is of type Enumerated, and it indicates that the Gateway Control Session in the VPLMN is established or terminated in the multiple BBERFs scenario.

The following values are defined:

#### ESTABLISHMENT (0)

This value shall be used to indicate that the Gateway Control Session in the VPLMN is established in the multiple BBERFs scenario.

#### TERMINATION (1)

This value shall be used to indicate that the Gateway Control Session in the VPLMN is terminated in the multiple BBERFs scenario.

## 5.4 S9 re-used AVPs

The S9 reference point re-uses all of the Gx and Gxx AVPs specified in 3GPP TS 29.212 [3], including the AVPs re-used by Gx and Gxx as specified in clauses 5.4 and 5a.4 of 3GPP TS 29.212 [3].

### 5.4.1 Use of the Supported-Features AVP on the S9 reference point

The Supported-Features AVP is used during session establishment to inform the destination host about the required and optional features that the origin host supports. The client shall, in the first request of a Diameter session indicate the set of features required for the successful processing of the session. If there are features supported by the client that are not advertised as part of the required set of features, the client shall provide in the same request this set of features that are optional for the successful processing of the session. The server shall, in the first answer within the Diameter session indicate the set of features that it has in common with the client and that the server shall support within the same Diameter session. Any further command messages shall always be compliant with the list of supported features indicated in the Supported-Features AVPs during session establishment. Features that are not advertised as supported shall not be used to construct command messages for that Diameter session. Unless otherwise stated, the use of the Supported-Features AVP on the S9 reference point shall be compliant with the requirements for dynamic discovery of supported features on the Cx reference point as defined in clause 7.2.1 of 3GPP TS 29.229 [7].

The base functionality for the S9 reference point is the 3GPP Rel-8 standard and a feature is an extension to that functionality. If the origin host does not support any features beyond the base functionality, the Supported-Features AVP shall be absent from the S9 commands. As defined in clause 7.1.1 of 3GPP TS 29.229 [7], when extending the application by adding new AVPs for a feature, the new AVPs shall have the 'M' bit cleared and the AVP shall not be defined mandatory in the command ABNF.

As defined in 3GPP TS 29.229 [7], the Supported-Features AVP is of type grouped and contains the Vendor-Id, Feature-List-ID and Feature-List AVPs. On the S9 reference point, the Supported-Features AVP is used to identify features that have been defined by 3GPP and hence, for features that are defined in this document, the Vendor-Id AVP shall contain the vendor ID of 3GPP (10415). If there are multiple feature lists defined for the S9 reference point, the Feature-List-ID AVP shall differentiate those lists from one another.

On receiving an initial request application message, the destination host shall act as defined in clause 7.2.1 of 3GPP TS 29.229 [7]. The following exceptions apply to the initial CCR/CCA command pair:

- If the V-PCRF supports features that are required for the successful operation of the session, the CCR shall include these required features within Supported-Features AVP(s) with the 'M' bit set.
- If the V-PCRF supports features that are not required for the successful operation of the session, the CCR shall include these optional features within Supported-Features AVP(s) with the 'M' bit cleared.
- If the CCR command does not contain any Supported-Features AVP(s) and the H-PCRF supports Rel-8 S9 functionality, the CCA command shall not include the Supported-Features AVP. In this case, both V-PCRF and H-PCRF shall behave as specified in this document.
- If the CCR command contains the Supported-Features AVP(s) and the H-PCRF supports all the features advertised in the CCR command within Supported-Features AVP(s) with the 'M' bit set, the CCA from the H-PCRF shall include the Supported-Features AVP(s), with the 'M' bit cleared, indicating only the features that both the V-PCRF and H-PCRF support.

Once the V-PCRF and H-PCRF have negotiated the set of supported features during session establishment, the set of common features shall be used during the lifetime of the Diameter session.

The table below defines the features applicable to the S9 interfaces for the feature list with a Feature-List-ID of 1.

**Table 5.4.1.1: Features of Feature-List-ID 1 used in S9**

Feature bit	Feature	M/O	Description
0	Rel9	M	This feature indicates the support of base 3GPP Rel-9 S9 functionality, excluding those features represented by separate feature bits.
Feature bit: The order number of the bit within the Feature-List AVP where the least significant bit is assigned number '0'. Feature: A short name that can be used to refer to the bit and to the feature, e.g. "EPS". M/O: Defines if the implementation of the feature is mandatory ("M") or optional ("O") in this 3GPP Release. Description: A clear textual description of the feature.			

## 5.5 S9 Messages

### 5.5.1 S9 Application

S9 Messages are carried within the Diameter Application(s) described in clause 5.1.

Existing Diameter command codes from the Diameter base protocol RFC 3588 [5] and the Diameter Credit Control Application RFC 4006 [9] are used with the S9 specific AVPs specified in clause 5.3. The Diameter Credit Control Application AVPs and AVPs from other Diameter applications that are re-used are defined in clause 5.4. Due to the definition of these commands there is no possibility to skip the Auth-Application-Id AVP and use the Vendor-Specific-Application-Id AVP instead. Therefore the S9 application identifier shall be included in the Auth-Application-Id AVP.

**NOTE:** Some of the AVPs included in the messages formats below are in bold to highlight that these AVPs are used by this specific protocol and do not belong to the original message definition in the DCC Application RFC 4006 [9] or Diameter Base Protocol RFC 3588 [5].

### 5.5.2 CC-Request (CCR) Command

The CCR command, indicated by the Command-Code field set to 272 and the 'R' bit set in the Command Flags field, is sent by the V-PCRF to the H-PCRF in order to request PCC or QoS rules. The CCR command is also sent by the V-PCRF to the H-PCRF in order to indicate bearer or PCC/QoS rule related events.

Message Format:

```
<CC-Request> ::= < Diameter Header: 272, REQ, PXY >
                < Session-Id >
                { Auth-Application-Id }
                { Origin-Host }
                { Origin-Realm }
                { Destination-Realm }
                { CC-Request-Type }
```



```

    { CC-Request-Number }
    [ Destination-Host ]
    [ Origin-State-Id ]
  * [ Subscription-Id ]
    [ Framed-IP-Address ]
    [ Framed-IPv6-Prefix ]
  * [ Supported-Features ]
    [ QoS-Information ]
  * [ TFT-Packet-Filter-Information ]
  * [ QoS-Rule-Report ]
0*2 [ AN-GW-Address ]
    [ Network-Request-Support ]
  * [ Packet-Filter-Information ]
    [ Packet-Filter-Operation ]
  * [ Subsession-Enforcement-Info ]
    [ IP-CAN-Type ]
    [ RAT-Type ]
    [ Termination-Cause ]
    [ User-Equipment-Info ]
    [ QoS-Negotiation ]
    [ QoS-Upgrade ]
    [ 3GPP-SGSN-MCC-MNC ]
    [ 3GPP-SGSN-Address ]
    [ 3GPP-SGSN-IPv6-Address ]
    [ RAI ]
    [ 3GPP-User-Location-Info ]
    [ 3GPP2-BSID ]
  * [ Event-Trigger ]
    [ Multiple-BBERF-Action ]
  * [ Proxy-Info ]
  * [ Route-Record ]
  * [ AVP ]

```

### 5.5.3 CC-Answer (CCA) Command

The CCA command, indicated by the Command-Code field set to 272 and the 'R' bit cleared in the Command Flags field, is sent by the H-PCRF to the V-PCRF in response to the CCR command. It is used to provision PCC/QoS rules and event triggers for the subsession/session

Message Format:

```

<CC-Answer> ::= < Diameter Header: 272, PXY >
  < Session-Id >
  { Auth-Application-Id }
  { Origin-Host }
  { Origin-Realm }
  [ Result-Code ]
  [ Experimental-Result ]
  { CC-Request-Type }
  { CC-Request-Number }
  * [ Supported-Features ]
  * [ QoS-Rule-Install ]
  * [ QoS-Rule-Remove ]
  * [ QoS-Information ]
  [ Bearer-Control-Mode ]
  * [ Event-Trigger ]
  [ Charging-Information ]
  * [ Subsession-Decision-Info ]
0*2 [ AN-GW-Address ]
    [ Origin-State-Id ]
    [ Error-Message ]
    [ Error-Reporting-Host ]
  * [ Failed-AVP ]
  * [ Proxy-Info ]
  * [ Route-Record ]
  * [ AVP ]

```

### 5.5.4 Re-Auth-Request (RAR) Command

The RAR command, indicated by the Command-Code field set to 258 and the 'R' bit set in the Command Flags field, is sent by the H-PCRF to the V-PCRF in order to provision QoS/PCC rules and event triggers for the subsession/session.

Message Format:

```

<RA-Request> ::= < Diameter Header: 258, REQ, PXY >
  < Session-Id >

```

```

    { Auth-Application-Id }
    { Origin-Host }
    { Origin-Realm }
    { Destination-Realm }
    { Destination-Host }
    { Re-Auth-Request-Type }
    [ Origin-State-Id ]
    * [ Supported-Features ]
    * [ QoS-Rule-Install ]
    * [ QoS-Rule-Remove ]
    * [ QoS-Information ]
    * [ Event-Trigger ]
    * [ Subsession-Decision-Info ]
0*2 [ AN-GW-Address ]
    * [ Proxy-Info ]
    * [ Route-Record ]
    * [ AVP ]

```

## 5.5.5 Re-Auth-Answer (RAA) Command

The RAA command, indicated by the Command-Code field set to 258 and the 'R' bit cleared in the Command Flags field, is sent by the V-PCRF to the H-PCRF in response to the RAR command.

Message Format:

```

<RA-Answer> ::= < Diameter Header: 258, PXY >
< Session-Id >
{ Origin-Host }
{ Origin-Realm }
[ Result-Code ]
[ Experimental-Result ]
[ Origin-State-Id ]
[ Framed-IP-Address ]
[ Framed-IPv6-Prefix ]
* [ Supported-Features ]
[ IP-CAN-Type ]
[ RAT-Type ]
[ 3GPP-SGSN-MCC-MNC ]
[ 3GPP-SGSN-Address ]
[ 3GPP-SGSN-IPv6-Address ]
[ RAI ]
[ 3GPP-User-Location-Info ]
[ 3GPP2-BSID ]
[ QoS-Information ]
* [ TFT-Packet-Filter-Information ]
* [ QoS-Rule-Report ]
0*2 [ AN-GW-Address ]
* [ Subsession-Enforcement-Info ]
[ ErrorMessage ]
[ Error-Reporting-Host ]
* [ Failed-AVP ]
* [ Proxy-Info ]
* [ AVP ]

```

## 5.6 S9 specific Experimental-Result-Code AVP values

### 5.6.1 General

RFC 3588 [6] specifies the Experimental-Result AVP containing Vendor-ID AVP and Experimental-Result-Code AVP. The Experimental-Result-Code AVP (AVP Code 298) is of type Unsigned32 and contains a vendor-assigned value representing the result of processing a request. The Vendor-ID AVP shall be set to 3GPP (10415).

### 5.6.2 Success

Result Codes that fall within the Success category are used to inform a peer that a request has been successfully completed.

The Result-Code AVP values defined in Diameter BASE RFC 3588 [6] shall be applied.

### 5.6.3 Permanent Failures

Errors that fall within the Permanent Failures category shall be used to inform the peer that the request failed, and should not be attempted again.

The Result-Code AVP values defined in Diameter BASE RFC 3588 [6] and 3GPP TS 29.212 [3] are applicable. Also the following specific S9 Experimental-Result-Codes values are defined:

#### DIAMETER\_ERROR\_SUBSESSION (5470)

This error shall be used when one or more S9 subsessions within the answer contains an unsuccessful Result-Code or Experimental-Result-Code value. The Result Code specific to the request related to the subsession is specified within the corresponding Subsession-Decision-Info or Subsession-Enforcement-Info AVP.

## Annex A (informative): Change history

Change history								
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New	
03/04/2008					Skeleton	-	0.0.0	
21/05/2008					CRs implemented: C3-080704, C3-080761, C3-080763, C3-080839, C3-080840, C3-080841	0.0.0	0.1.0	
30/06/2008					CRs implemented: C3-081113, C3-081183, C3-081114, C3-081184, C3-081153, C3-081172	0.1.0	0.2.0	
27/08/2008					CRs implemented: C3-081515, C3-081526, C3-081540	0.2.0	0.3.0	
01/09/2008					Version 1.0.0 created for presentation to TSG by MCC	0.3.0	1.0.0	
14/10/2008					CRs implemented: C3-082100, C3-082082, C3-082068, C3-082025, C3-082101, C3-082027, C3-082083, C3-082114, C3-082030, C3-081983	1.0.0	1.1.0	
19/11/2008					CRs implemented: C3-082213, C3-082379, C3-082382, C3-082383, C3-082384, C3-082460, C3-082595, C3-082599	1.1.0	1.2.0	
01/12/2008					Correct implementation of C3-082595	1.2.0	1.2.1	
26/11/2008					v 2.0.0 was produced by MCC for Approval in CT#42	1.2.1	2.0.0	
13/12/2008	TSG#42				v 8.0.0 was produced by MCC	2.0.0	8.0.0	
13/01/2009					V8.0.1 was produced by MCC due to editorial correction	8.0.0	8.0.1	
13/01/2009					Further cosmetic corrections	8.0.1	8.0.2	
03/2009	TSG#43	CP-090086	002	1	Event Trigger Clarifications	8.0.2	8.1.0	
03/2009	TSG#43	CP-090086	003	1	Corrections on Session establishment for HR	8.0.2	8.1.0	
03/2009	TSG#43	CP-090086	004	2	Handling of Proxy/OCS IP@ for Roaming VA	8.0.2	8.1.0	
03/2009	TSG#43	CP-090083	006	5	Multiple BBERF Support Over S9 for VA	8.0.2	8.1.0	
03/2009	TSG#43	CP-090082	007	1	Adding Supported-Features AVP to S9 commands	8.0.2	8.1.0	
03/2009	TSG#43	CP-090083	008	2	Multiple BBERF handling in home routed case	8.0.2	8.1.0	
03/2009	TSG#43	CP-090086	010	2	Break circular reference in S9 session establishment	8.0.2	8.1.0	
03/2009	TSG#43	CP-090086	012	1	Experimental-Result-Code to indicate S9 subsession failure	8.0.2	8.1.0	
05/2009	TSG#44	CP-090340	011	4	Error handling in VA procedures	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	013	1	Default EPS bearer QoS handling in S9	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	014	2	Unsuccessful-QoS-validation as Rule-Failure-Code in S9	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	017	1	General editorial cleanups	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	018		Minor technical corrections	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	019	1	Corrections to S9 termination procedures	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	020		Corrections to HR procedures	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	021	1	Clarifications on home-routed procedures	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	022	2	Clarifications on visited-access procedures	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	024		Experimental-Result code for DIAMETER_ERROR_SUBSESSION	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	025	1	UE-init Bearer Resource Modification Request over S9	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	028	1	Delete Event-Report-Indication AVP from S9	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	029		Correction to the operation on the dynamic PCC rules	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	030		Correction of the editorial errors	8.1.0	8.2.0	
05/2009	TSG#44	CP-090340	031		S9 Application ID	8.1.0	8.2.0	
09/2009	TSG#45	CP-090571	032		Deferred leg session linking handling when roaming	8.2.0	8.3.0	
09/2009	TSG#45	CP-090575	033	1	APN-AMBR in S9	8.2.0	8.3.0	
09/2009	TSG#45	CP-090575	037		Clarification on S9 Transport Layer Protocol	8.2.0	8.3.0	
09/2009	TSG#45	CP-090575	038		AVP codes	8.2.0	8.3.0	
09/2009	TSG#45	CP-090571	039	1	Handling of multiple BBERF	8.2.0	8.3.0	

09/2009	TSG#45	CP-090575	040	1	Resolve the conflict of event trigger descriptions	8.2.0	8.3.0
09/2009	TSG#45	CP-090585	035	2	Emergency services not supported in S9	8.3.0	9.0.0
09/2009	TSG#45	CP-090586	036	1	Supporting multiple PDN connection to same APN	8.3.0	9.0.0
12/2009	TSG#46	CP-090843	042	3	Handling of Bearer Control Mode in S9 reference point	9.0.0	9.1.0
12/2009	TSG#46	CP-090857	043	1	Usage Reporting in S9	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	045	3	Bearer control mode selection over S9	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	047		Correction to the Multiple BBERF handling	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	049	2	Deferred session linking handling in home routed case	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	051	5	Deferred session linking handling in visited access case	9.0.0	9.1.0
12/2009	TSG#46	CP-090857	052	3	Session linking handling of MUPSAP in home routed case	9.0.0	9.1.0
12/2009	TSG#46	CP-090857	053	5	Session linking handling of MUPSAP in visited access case	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	057		V-AF Subscription to Notification of Signalling Path Status	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	059	1	V-PCRF Handling of BBERF CCR/CCA Messages	9.0.0	9.1.0
12/2009	TSG#46	CP-090857	063	2	Supported-Features for S9	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	065		Adding the missed AVP in the RAA command of S9	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	070	2	Destination Realm	9.0.0	9.1.0
12/2009	TSG#46	CP-090843	074		Use of Access Network charging network	9.0.0	9.1.0

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## History

<b>Document history</b>		
V9.1.0	January 2010	Publication