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**Digital cellular telecommunications system (Phase 2+) (GSM);
Universal Mobile Telecommunications System (UMTS);
LTE;
Policy and charging control: Spending limit reporting
over Sy reference point
(3GPP TS 29 219 version 17.0.0 Release 17)**

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Contents

Intellectual Property Rights	2
Legal Notice	2
Modal verbs terminology.....	2
Foreword.....	5
1 Scope	6
2 References	6
3 Definitions and abbreviations.....	7
3.1 Definitions	7
3.2 Abbreviations	7
4 Sy reference point.....	7
4.1 Overview	7
4.2 Sy Reference model.....	8
4.3 Subscriber Spending Limits	8
4.4 Functional elements.....	9
4.4.1 PCRF	9
4.4.2 OCS	9
4.5 Spending Limits procedures over Sy reference point.....	9
4.5.1 Initial/Intermediate Spending Limit Report Request.....	9
4.5.1.1 General	9
4.5.1.2 Detailed behaviour of the PCRF	10
4.5.1.3 The behaviour of the OCS.....	10
4.5.2 Spending Limit Report.....	11
4.5.2.1 General	11
4.5.2.2 The behaviour of the OCS.....	12
4.5.2.3 Detailed behaviour of the PCRF.....	12
4.5.3 Final Spending Limit Report Request.....	12
4.5.3.1 General	12
4.5.3.2 Detailed behaviour of the PCRF.....	13
4.5.3.3 The behaviour of the OCS.....	13
4.5.4 Sy Session Termination by the OCS.....	13
5 Sy protocol	13
5.1 Protocol support	13
5.1.1 Use of Diameter base protocol.....	13
5.1.2 Void	14
5.1.3 Accounting functionality	14
5.1.4 Transport protocol	14
5.1.5 Advertising Application Support	14
5.1.6 Use of the Supported-Features AVP	14
5.2 Initialization and maintenance of connection and session.....	15
5.3 Sy specific AVPs.....	15
5.3.0 General.....	15
5.3.1 Policy-Counter-Identifier AVP.....	16
5.3.2 Policy-Counter-Status AVP.....	16
5.3.3 Policy-Counter-Status-Report AVP.....	16
5.3.4 SL-Request-Type AVP.....	16
5.3.5 Pending-Policy-Counter-Information AVP	17
5.3.6 Pending-Policy-Counter-Change-Time AVP	17
5.3.7 SN-Request-Type AVP.....	17
5.4 Sy re-used AVPs	17
5.5 Sy specific Experimental-Result-Code AVP values.....	18
5.5.1 General.....	18
5.5.2 Permanent Failures	18
5.5.3 Transient Failures	19

5.6	Sy Messages	19
5.6.1	Command-Code Values	19
5.6.2	Spending-Limit-Request (SLR) command	19
5.6.3	Spending-Limit-Answer (SLA) command.....	20
5.6.4	Spending-Status-Notification-Request (SNR) command.....	20
5.6.5	Spending-Status-Notification-Answer (SNA) command.....	20
5.6.6	Session-Termination-Request (STR) command	21
5.6.7	Session-Termination-Answer (STA) command.....	21
Annex A (normative):	User Identity for Fixed Broadband Access network convergence	22
Annex B (informative):	Change history	23
History		24

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1 Scope

The present document provides the stage 3 specification of the Sy reference point for the present release. The functional requirements and the stage 2 specifications of the Sy reference point are contained in TS 23.203 [2]. The Sy reference point lies between the Policy and Charging Rule Function (PCRF) and the Online Charging System (OCS). The internal OCS functionality for policy counter provision management pertaining to Sy is specified in TS 32.296 [16].

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.
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- 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 Control and Charging architecture".
- [3] Void.
- [4] IETF RFC 4005: "Diameter Network Access Server Application".
- [5] IETF RFC 4006: "Diameter Credit Control Application".
- [6] IETF RFC 5719: "Updated IANA Considerations for Diameter Command Code Allocations".
- [7] IETF RFC 2234: "Augmented BNF for syntax specifications".
- [8] 3GPP TS 29.213: "Policy and charging control signalling flows and Quality of Service (QoS) parameter mapping".
- [9] Void.
- [10] Void.
- [11] Void.
- [12] Void.
- [13] IETF RFC 791: "Transmission Control Protocol".
- [14] IETF RFC 4960: "Stream Control Transmission Protocol".
- [15] 3GPP TS 29.229: "Cx and Dx interfaces based on the Diameter protocol".
- [16] 3GPP TS 32.296: "Telecommunication management; charging management; Online Charging System (OCS) applications and interfaces".
- [17] ETSI TS 283 034 v2.2.0: "Telecommunications and Internet converged Services and Protocols for Advanced Networking (TISPAN); Network Attachment Sub-System (NASS); e4 interface based on the DIAMETER protocol".
- [18] IETF RFC 3046: "DHCP Relay Agent Information Option".
- [19] 3GPP TS 29.212: "Policy and Charging Control (PCC); Reference points".
- [20] IETF RFC 7683: "Diameter Overload Indication Conveyance".

- [21] IETF RFC 7944: "Diameter Routing Message Priority".
- [22] IETF RFC 8583: "Diameter Load Information Conveyance".
- [23] IETF RFC 6733: "Diameter Base Protocol".

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].

policy counter: A mechanism within the OCS to track spending applicable for a subscriber.

policy counter identifier: A reference to a policy counter in the OCS for a subscriber.

policy counter status: A label whose values are not standardized and that is associated with a policy counter's value relative to the spending limit(s) (the number of possible policy counter status values for a policy counter is one greater than the number of thresholds associated with that policy counter, i.e policy counter status values describe the status around the thresholds). This is used to convey information relating to subscriber spending from OCS to PCRF. Specific labels are configured jointly in OCS and PCRF.

spending limit: A spending limit is the usage limit of a policy counter (e.g. monetary, volume, duration) that a subscriber is allowed to consume.

spending limit report: a notification, containing the current policy counter status generated from the OCS to the PCRF via the Sy reference point.

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].

DRMP	Diameter Routing Message Priority
OCS	Online charging system
OFCS	Offline charging system
PCEF	Policy and Charging Enforcement Function
PCRF	Policy and Charging Rule Function
RCAF	RAN Congestion Awareness Function
SLA	Spending-Limit-Answer (SL-Answer)
SLR	Spending-Limit-Request (SL- Request)
SNA	Spending-Status-Notification-Answer (SN-Answer)
SNR	Spending-Status-Notification-Request (SN- Request)
STA	Session-Termination-Answer (ST-Answer)
STR	Session-Termination-Request (ST- Request)

4 Sy reference point

4.1 Overview

The Sy reference point is located between the Policy and Charging Rules Function (PCRF) and the Online Charging System (OCS). The Sy reference point enables transfer of policy counter status information relating to subscriber spending from OCS to PCRF and supports the following functions:

- Request of policy counter status reporting from PCRF to OCS and subscribe to or unsubscribe from spending limit reports (i.e. notifications of policy counter status changes).
- Notification of spending limit reports from OCS to PCRF.
- Cancellation of spending limit reporting from PCRF to OCS.

Since the Sy reference point resides between the PCRF and OCS in the HPLMN, roaming with home routed or visited access as well as non-roaming scenarios are supported in the same manner.

The stage 2 level requirements for the Sy reference point are defined in 3GPP TS 23.203 [2].

Signalling flows related to the Sy interface are specified in 3GPP TS 29.213 [8].

Refer to Annex G of 3GPP TS 29.213 [8] for Diameter overload control procedures over the Sy interface.

Refer to Annex J of 3GPP TS 29.213 [8] for Diameter message priority mechanism procedures over the Sy interface.

Refer to Annex K of 3GPP TS 29.213 [8] for Diameter load control procedures over the Sy interface.

4.2 Sy Reference model

The Sy reference point is defined between the PCRF and the OCS. The relationships between the involved functional entities are depicted in figure 4.2.1. The overall PCC architecture is depicted in clause 3a of 3GPP TS 29.213 [8]

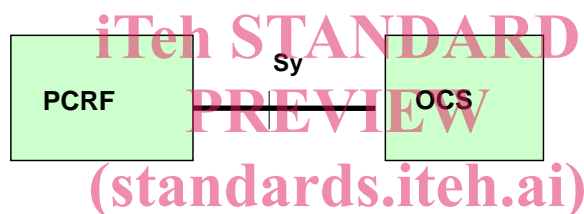


Figure 4.2.1: Sy reference model

ETSI TS 129 219 V17.0.0 (2022-04)

Figure 4.2.2: Void
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4.3 Subscriber Spending Limits

Policy decisions based on spending limits is a function that allows the PCRF to make policy decisions based on the status of policy counters that are maintained in the OCS. The PCRF uses the policy counter statuses received from the OCS as input to its policy decisions, e.g. downgrade the QoS (e.g. APN-AMBR) or modify the PCC/QoS/ADC Rules.

When the status of policy counters is first required to make a policy decision for a subscriber, the PCRF uses the Initial Spending Limit Report Request procedure. The PCRF may request specific or all policy counter statuses to be reported by the OCS for the user. The OCS provides the status to the PCRF of the requested policy counters, and will notify the PCRF of any changes in the status of those policy counters. Optionally, the OCS can provide one or more pending statuses for a requested policy counter with the times that have to be applied. The pending status of a policy counter shall autonomously become the current status of a policy counter at the PCRF when the indicated corresponding time is reached. Subsequently, the provided information for pending statuses of a policy counter shall overwrite the previously received information.

NOTE 1: The mechanism for provisioning the policy counters in the OCS is out of scope of this document.

NOTE 2: A policy counter in the OCS can represent the spending for one or more services, one or more devices, one or more subscribers, etc. The representation is operator dependent. There is no explicit relationship between Charging-Key and policy counter.

The PCRF may request reporting for specific policy counter(s) that it is not currently subscribed and/or cancel reporting for specific policy counter status(es) using the Intermediate Spending Limit Report Request. The PCRF may cancel spending limit reporting for all policy counter(s) using the Final Spending Limit Report Request.

The updated subscriber profile may also trigger the PCRF sending the Initial/Intermediate/Final Spending Limit Report Request to the OCS to subscribed and/or cancel reporting for policy counter status(es). If spending limit reporting for a policy counter is enabled, the OCS shall notify the PCRF of changes in the status of this policy counter (e.g. daily spending limit of \$2 reached) and optionally pending statuses of this policy counter with the activation time (e.g. due to a billing period that will expire at midnight).

4.4 Functional elements

4.4.1 PCRF

The Policy Control and Charging Rules Function (PCRF) is a functional element that encompasses policy control decision and flow based charging control functionalities.

The PCRF may take information on the subscriber's spending status into account in its policy decisions. The PCRF may request spending limit reporting for policy counters from the OCS using the Initial or Intermediate Spending Limit Report Request procedure as specified in clause 4.5.1. The PCRF may cancel spending limit reporting for specific policy counter(s) using the Intermediate Spending Limit Report Request procedure, or for all policy counter(s) using the Final Spending Limit Report Request procedure as specified in clause 4.5.3.

The PCRF shall have at least one active IP-CAN session to be able to initiate an Sy session to be used when required for spending limit reporting for that subscriber. The PCRF shall terminate the Sy session when the last IP-CAN session for that subscriber is terminated or no IP-CAN session for the same user depends on the spending status information provided over Sy reference point.

The PCRF may use the status of each relevant policy counter as input to its policy decision as required by the decision logic.

4.4.2 OCS

The Online Charging System (OCS), for the purpose of policy decisions based on the subscriber's spending, shall:

- maintain the policy counter statuses applicable for a subscriber.
- report the policy counter status values for the subscriber when requested to the PCRF.
- when a policy counter status changes, report the change to the PCRF.

4.5 Spending Limits procedures over Sy reference point

4.5.1 Initial/Intermediate Spending Limit Report Request

4.5.1.1 General

This procedure shall be used by the PCRF to request the status of policy counters available at the OCS, and to subscribe or unsubscribe to updates of policy counters by the OCS.

This procedure is mapped to the Spending-Limit-Request/Answer commands specified in clause 5.6.

Table 4.5.1.1/1: Initial/Intermediate Spending Limit Report Request

Information element name	Mapping to Diameter AVP	Cat.	Description
User Identity	Subscription-Id, Logical-Access-ID AVP, Physical-Access-ID (NOTE 1)	C	This IE shall contain the identity of the user. It shall be present in the initial request when the SL-Request-Type=INITIAL_REQUEST.
Request Type	SL-Request-Type	M	This IE shall indicate whether this is the initial or a subsequent request for the user.
Subscribed Policy Counter Identifier List	Policy-Counter-Identifier	O	This IE shall indicate the list of policy counter identifiers to be subscribed to. In the intermediate spending limit report request procedure, this list overrides a previously provisioned list. If omitted in either the Initial or Intermediate Spending Limit Report Request procedures the PCRF requests subscription to all available policy counters.
NOTE 1: The Logical-Access-ID AVP and Physical-Access-ID AVP are only applicable to Fixed Broadband Access network convergence as defined in annex A.			

Table 4.5.1.1/2: Initial/Intermediate Spending Limit Report Response

Information element name	Mapping to Diameter AVP	Cat.	Description
Policy Counter Status Report	Policy-Counter-Status-Report	O	If present, this information element shall contain a policy counter identifier, the current status value and if applicable pending policy counter statuses with the activation times.
Result	Result-Code or Experimental-Result	M	This IE shall contain the result of the operation.

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4.5.1.2 Detailed behaviour of the PCRF

The PCRF shall make use of this procedure when it determines for a subscriber that

- The status of policy counter(s) to which the PCRF does not have an existing subscription for status change notifications is/are required.
- The status of one or more, but not all, policy counter(s) to which the PCRF has an existing subscription for status change notifications are no longer required.

NOTE: The Final Spending Limit Request procedure in clause 4.5.3 is used to remove all subscriptions.

In the initial request, i.e. when the request is sent for the first time for the Subscriber, the PCRF shall set the SL-Request-Type AVP to the value INITIAL_REQUEST (0). For subsequent requests for the same Subscriber, the PCRF shall set the SL-Request-Type AVP to INTERMEDIATE_REQUEST (1).

For each policy counter that the PCRF requires the current status and notifications of future status changes, the PCRF shall indicate the concerned policy counter identifiers in the request. Alternatively, the policy counter identifiers may be omitted if the PCRF requires the current status and notifications of future status changes of all available policy counters.

4.5.1.3 The behaviour of the OCS

Upon reception of the request from the PCRF, the OCS shall check if there is an ongoing Sy session associated with the received Session-Id AVP. If there is no Sy session and the SL-Request-Type AVP is set to INITIAL_REQUEST (0), an Sy session is created on the OCS. If there is an Sy session and the SL-Request-Type AVP is not set to INTERMEDIATE_REQUEST (1), the OCS shall return a response with the Result-Code set to DIAMETER_INVALID_AVP_VALUE and with the Failed-AVP AVP containing the SL-Request-Type AVP. If there is no Sy session and the SL-Request-Type AVP is not set to INITIAL_REQUEST (0), the OCS shall return a response with the Result-Code AVP set to DIAMETER_UNKNOWN_SESSION_ID.

Upon reception of the request from the PCRF provided with explicit Policy Counter Identifier(s):