**3GPP TSG-RAN WG2 Meeting #117-e *R2-220xxxx***

**Online, 21st Feb. – 03rd Mar. 2022**

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| *CR-Form-v12.2* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.300** | **CR** | **xxxx** | **rev** | **-** | **Current version:** | **16.8.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **x** | Radio Access Network | **x** | Core Network |  |

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| ***Title:*** | Introduction of feMIMO | | | | | | | | | |
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| ***Source to WG:*** | Samsung | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_feMIMO-Core | | | | |  | ***Date:*** | | | 03 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **B** |  | | | | | ***Release:*** | | |  |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18) Rel-19 (Release 19)* | |
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| ***Reason for change:*** | | RAN1 sent LS (R2-2204076) including the endorsed Stage 2 TP for feMIMO.  In addition, RAN2 made following agreements regarding system information reception in inter-cell beam management:  RAN2#116bis-e meeting   * Allow NW to update UE SI information either via dedicated configuration, or via switching UE to pTRP for SI reception. FFS if these require specification modifications and whether there are critical issues with the mechanisms.   RAN2#117-e meeting   * SI reception in inter-cell BM should be covered in TS38.300 (Samsung) | | | | | | | | |
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| ***Summary of change:*** | | TP from RAN1 and RAN2 agreements up to RAN2#117-e meeting  are captured.   1. In 5.2.3, descriptions for PDCCH repetition two linked search space sets are added. 2. In 6.12, descriptions for multi-TRP PDCCH operations, multi-TRP PUSCH repetition and inter-cell multi-TRP operation are added. 3. In 7.3.1, UE behaviour for system information reception in inter-cell beam management operation is added. 4. In 9.2.3.1, descriptions for beam level mobility are added. 5. In 9.2.8, descriptions for beam failure detection and recovery in multi-TRP operation are added. | | | | | | | | |
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| ***Consequences if not approved:*** | | New stage 2 functions for Rel-17 feMIMO are not described in this specification. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.2.3, 6.12, 7.3.1, 9.2.3.1, 9.2.8 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  |  | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  |  | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  |  | O&M Specifications | | | | TS/TR ... CR ... | | |
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| ***Other comments:*** | |  | | | | | | | | |
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| ***This CR's revision history:*** | |  | | | | | | | | |

*First Modified Subclause*

5.2.3 Physical downlink control channels

The Physical Downlink Control Channel (PDCCH) can be used to schedule DL transmissions on PDSCH and UL transmissions on PUSCH, where the Downlink Control Information (DCI) on PDCCH includes:

- Downlink assignments containing at least modulation and coding format, resource allocation, and hybrid-ARQ information related to DL-SCH;

- Uplink scheduling grants containing at least modulation and coding format, resource allocation, and hybrid-ARQ information related to UL-SCH.

In addition to scheduling, PDCCH can be used to for

- Activation and deactivation of configured PUSCH transmission with configured grant;

- Activation and deactivation of PDSCH semi-persistent transmission;

- Notifying one or more UEs of the slot format;

- Notifying one or more UEs of the PRB(s) and OFDM symbol(s) where the UE may assume no transmission is intended for the UE;

- Transmission of TPC commands for PUCCH and PUSCH;

- Transmission of one or more TPC commands for SRS transmissions by one or more UEs;

- Switching a UE's active bandwidth part;

- Initiating a random access procedure;

- Indicating the UE(s) to monitor the PDCCH during the next occurrence of the DRX on-duration;

- In IAB context, indicating the availability for soft symbols of an IAB-DU;

- Triggering one shot HARQ-ACK codebook feedback;

- For operation with shared spectrum channel access:

- Triggering search space set group switching;

- Indicating one or more UEs about the available RB sets and channel occupancy time duration;

- Indicating downlink feedback information for configured grant PUSCH (CG-DFI).

A UE monitors a set of PDCCH candidates in the configured monitoring occasions in one or more configured COntrol REsource SETs (CORESETs) according to the corresponding search space configurations.

A CORESET consists of a set of PRBs with a time duration of 1 to 3 OFDM symbols. The resource units Resource Element Groups (REGs) and Control Channel Elements (CCEs) are defined within a CORESET with each CCE consisting a set of REGs. Control channels are formed by aggregation of CCE. Different code rates for the control channels are realized by aggregating different number of CCE. Interleaved and non-interleaved CCE-to-REG mapping are supported in a CORESET.

The PDCCH repetition is operated by using two search space sets which are explicitly linked by configuration provided by the RRC layer, and are associated with corresponding CORESETs. For PDCCH repetition, two linked search space sets are configured with the same number of candidates, and two PDCCH candidates in two search space sets are linked with the same candidate index. The two linked search space sets have the same search space type, the same DCI formats to monitor, and the same periodicity, offset and the same duration. When PDCCH repetition is scheduled to a UE, an intra-slot repetition is allowed and each repetition has the same number of CCEs and coded bits, and corresponds to the same DCI payload.

Polar coding is used for PDCCH.

Each resource element group carrying PDCCH carries its own DMRS.

QPSK modulation is used for PDCCH.

*Second Modified Subclause*

## 6.12 Multiple Transmit/Receive Point Operation

In Multiple Transmit/Receive Point (multi-TRP) operation, a serving cell can schedule the UE from two TRPs, providing better coverage, reliability and/or data rates for PDSCH, PDCCH, PUSCH, and PUCCH.

There are two different operation modes to schedule multi-TRP PDSCH transmissions: single-DCI and multi-DCI. For both modes, control of uplink and downlink operation can be done by physical layer and MAC layer, within the configuration provided by the RRC layer. In single-DCI mode, the UE is scheduled by the same DCI for both TRPs and in multi-DCI mode, the UE is scheduled by independent DCIs from each TRP.

There are two different operation modes for multi-TRP PDCCH: PDCCH repetition as in Clause 5.2.3 and SFN based PDCCH transmission. In both modes, the UE can receive two PDCCH transmissions, one from each TRP, carrying the same DCI. In PDCCH repetition mode, the UE can receive the two PDCCH transmissions carrying the same DCI from two linked search spaces each associated with a different CORESET. In SFN based PDCCH transmission mode, the UE can receive the two PDCCH transmissions carrying the same DCI from a single search space/CORESET using different TCI states.

For multi-TRP PUSCH repetition, according to indications in a single DCI or in a semi-static configured grant provided over RRC, the UE performs PUSCH transmission of the same contents toward two TRPs with corresponding beam directions associated with different spatial relations. For multi-TRP PUCCH repetition, the UE performs PUCCH transmission of the same contents toward two TRPs with corresponding beam directions associated with different spatial relations.

For inter-cell multi-TRP operation, for multi-DCI PDSCH transmission, one or more TCI states can be associated with SSB with a PCI different from the serving cell PCI. The activated TCI states can be associated with at most one PCI different from the serving cell PCI at a time.

*Third Modified Subclause*

## 7.3 System Information Handling

### 7.3.1 Overview

System Information (SI) consists of a MIB and a number of SIBs, which are divided into Minimum SI and Other SI:

- **Minimum SI** comprises basic information required for initial access and information for acquiring any other SI. Minimum SI consists of:

- *MIB* contains cell barred status information and essential physical layer information of the cell required to receive further system information, e.g. CORESET#0 configuration. *MIB* is periodically broadcast on BCH.

- *SIB1* defines the scheduling of other system information blocks and contains information required for initial access. SIB1 is also referred to as Remaining Minimum SI (RMSI) and is periodically broadcast on DL-SCH or sent in a dedicated manner on DL-SCH to UEs in RRC\_CONNECTED.

- **Other SI** encompasses all SIBs not broadcast in the Minimum SI. Those SIBs can either be periodically broadcast on DL-SCH, broadcast on-demand on DL-SCH (i.e. upon request from UEs in RRC\_IDLE, RRC\_INACTIVE, or RRC\_CONNECTED), or sent in a dedicated manner on DL-SCH to UEs in RRC\_CONNECTED (i.e., upon request, if configured by the network, from UEs in RRC\_CONNECTED or when the UE has an active BWP with no common search space configured or when the UE configured with inter cell beam management is receiving DL-SCH from a TRP with PCI different from serving cell’s PCI). Other SI consists of:

- *SIB2* contains cell re-selection information, mainly related to the serving cell;

- *SIB3* contains information about the serving frequency and intra-frequency neighbouring cells relevant for cell re-selection (including cell re-selection parameters common for a frequency as well as cell specific re-selection parameters);

- *SIB4* contains information about other NR frequencies and inter-frequency neighbouring cells relevant for cell re-selection (including cell re-selection parameters common for a frequency as well as cell specific re-selection parameters), which can also be used for NR idle/inactive measurements;

- *SIB5* contains information about E-UTRA frequencies and E-UTRA neighbouring cells relevant for cell re-selection (including cell re-selection parameters common for a frequency as well as cell specific re-selection parameters);

- *SIB6* contains an ETWS primary notification;

- *SIB7* contains an ETWS secondary notification;

- *SIB8* contains a CMAS warning notification;

- *SIB9* contains information related to GPS time and Coordinated Universal Time (UTC);

- *SIB10* contains the Human-Readable Network Names (HRNN) of the NPNs listed in SIB1;

- *SIB11* contains information related to idle/inactive measurements;

- *SIBpos* contains positioning assistance data as defined in TS 37.355 [43] and TS 38.331 [12].

For sidelink, Other SI also includes:

- *SIB12* contains information related to NR sidelink communication;

- *SIB13* contains information related to *SystemInformationBlockType21* for V2X sidelink communication as specified in TS 36.331 clause 5.2.2.28 [29];

- *SIB14* contains information related to *SystemInformationBlockType26* for V2X sidelink communication as specified in TS 36.331 clause 5.2.2.33 [29].

Figure 7.3-1 below summarises System Information provisioning.



Figure 7.3-1: System Information Provisioning

For a cell/frequency that is considered for camping by the UE, the UE is not required to acquire the contents of the minimum SI of that cell/frequency from another cell/frequency layer. This does not preclude the case that the UE applies stored SI from previously visited cell(s).

If the UE cannot determine the full contents of the minimum SI of a cell by receiving from that cell, the UE shall consider that cell as barred.

In case of BA, the UE only acquires SI on the active BWP.

If the UE is configured with inter cell beam management:

* the UE is not required to acquire the SI from the serving cell while it is receiving DL-SCH from a TRP with PCI different from serving cell’s PCI.

*Fourth Modified Subclause*

9.2.3 Mobility in RRC\_CONNECTED

9.2.3.1 Overview

Network controlled mobility applies to UEs in RRC\_CONNECTED and is categorized into two types of mobility: cell level mobility and beam level mobility. Beam level mobility includes intra-cell beam level mobility and inter-cell beam level mobility.

**Cell Level Mobility** requires explicit RRC signalling to be triggered, i.e. handover. For inter-gNB handover, the signalling procedures consist of at least the following elemental components illustrated in Figure 9.2.3.1-1:

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**Figure 9.2.3.1-1: Inter-gNB handover procedures**

1. The source gNB initiates handover and issues a HANDOVER REQUEST over the Xn interface.

2. The target gNB performs admission control and provides the new RRC configuration as part of the HANDOVER REQUEST ACKNOWLEDGE.

3. The source gNB provides the RRC configuration to the UE by forwarding the *RRCReconfiguration* message received in the HANDOVER REQUEST ACKNOWLEDGE. The *RRCReconfiguration* message includes at least cell ID and all information required to access the target cell so that the UE can access the target cell without reading system information. For some cases, the information required for contention-based and contention-free random access can be included in the *RRCReconfiguration* message. The access information to the target cell may include beam specific information, if any.

4. The UE moves the RRC connection to the target gNB and replies with the *RRCReconfigurationComplete*.

NOTE 1: User Data can also be sent in step 4 if the grant allows.

In case of DAPS handover, the UE continues the downlink user data reception from the source gNB until releasing the source cell and continues the uplink user data transmission to the source gNB until successful random access procedure to the target gNB.

Only source and target PCell are used during DAPS handover. CA, DC, SUL, multi-TRP, EHC, CHO, NR sidelink configurations and V2X sidelink configurations are released by the source gNB before the handover command is sent to the UE and are not configured by the target gNB until the DAPS handover has completed (i.e. at earliest in the same message that releases the source PCell).

The handover mechanism triggered by RRC requires the UE at least to reset the MAC entity and re-establish RLC, except for DAPS handover, where upon reception of the handover command, the UE:

- Creates a MAC entity for target;

- Establishes the RLC entity and an associated DTCH logical channel for target for each DRB configured with DAPS;

- For each DRB configured with DAPS, reconfigures the PDCP entity with separate security and ROHC functions for source and target and associates them with the RLC entities configured by source and target respectively;

- Retains the rest of the source configurations until release of the source.

NOTE 2: Void.

NOTE 3: Void.

RRC managed handovers with and without PDCP entity re-establishment are both supported. For DRBs using RLC AM mode, PDCP can either be re-established together with a security key change or initiate a data recovery procedure without a key change. For DRBs using RLC UM mode, PDCP can either be re-established together with a security key change or remain as it is without a key change. For SRBs, PDCP can either remain as it is, discard its stored PDCP PDUs/SDUs without a key change or be re-established together with a security key change.

Data forwarding, in-sequence delivery and duplication avoidance at handover can be guaranteed when the target gNB uses the same DRB configuration as the source gNB.

Timer based handover failure procedure is supported in NR. RRC connection re-establishment procedure is used for recovering from handover failure except in certain CHO or DAPS handover scenarios:

- When DAPS handover fails, the UE falls back to the source cell configuration, resumes the connection with the source cell, and reports DAPS handover failure via the source without triggering RRC connection re-establishment if the source link has not been released.

- When initial CHO execution attempt fails or HO fails, the UE performs cell selection, and if the selected cell is a CHO candidate and if network configured the UE to try CHO after handover/CHO failure, then the UE attempts CHO execution once, otherwise re-establishment is performed.

DAPS handover for FR2 to FR2 case is not supported in this release of the specification.

The handover of the IAB-MT in SA mode follows the same procedure as described for the UE. After the backhaul has been established, the handover of the IAB-MT is part of the intra-CU topology adaptation procedure defined in TS 38.401 [4]. Modifications to the configuration of BAP sublayer and higher protocol layers above the BAP sublayer are described in TS 38.401 [4].

**Beam Level Mobility** does not require explicit RRC signalling to be triggered. Beam level mobility can be within a cell, or between cells, the latter is referred to as inter-cell beam management (ICBM). For ICBM, a UE can receive or transmit UE dedicated channels/signals via a TRP associated with a PCI different from the PCI of a serving cell, while non-UE-dedicated channels/signals can only be received via a TRP associated with a PCI of the serving cell. The gNB provides via RRC signalling the UE with measurement configuration containing configurations of SSB/CSI resources and resource sets, reports and trigger states for triggering channel and interference measurements and reports. In case of ICBM, a measurement configuration includes SSB resources associated with PCIs different from the PCI of a serving cell. Beam Level Mobility is then dealt with at lower layers by means of physical layer and MAC layer control signalling, and RRC is not required to know which beam is being used at a given point in time.

SSB-based Beam Level Mobility is based on the SSB associated to the initial DL BWP and can only be configured for the initial DL BWPs and for DL BWPs containing the SSB associated to the initial DL BWP. For other DL BWPs, Beam Level Mobility can only be performed based on CSI-RS.

*Fifth Modified Subclause*

9.2.8 Beam failure detection and recovery

For beam failure detection, the gNB configures the UE with beam failure detection reference signals (SSB or CSI-RS) and the UE declares beam failure when the number of beam failure instance indications from the physical layer reaches a configured threshold before a configured timer expires. For beam failure detection in multi-TRP operation, the gNB configures the UE with two sets of beam failure detection reference signals each associated with a TRP, and the UE declares beam failure for a TRP when the number of beam failure instance indications associated with the corresponding set of beam failure detection reference signals from the physical layer reaches a configured threshold before a configured timer expires.

SSB-based Beam Failure Detection is based on the SSB associated to the initial DL BWP and can only be configured for the initial DL BWPs and for DL BWPs containing the SSB associated to the initial DL BWP. For other DL BWPs, Beam Failure Detection can only be performed based on CSI-RS.

After beam failure is detected on PCell, the UE:

- triggers beam failure recovery by initiating a Random Access procedure on the PCell;

- selects a suitable beam to perform beam failure recovery (if the gNB has provided dedicated Random Access resources for certain beams, those will be prioritized by the UE).

- includes an indication of a beam failure on PCell in a BFR MAC CE if the Random Access procedure involves contention-based random access.

Upon completion of the Random Access procedure, beam failure recovery for PCell is considered complete.

After beam failure is detected on an SCell, the UE:

- triggers beam failure recovery by initiating a transmission of a BFR MAC CE for this SCell;

- selects a suitable beam for this SCell (if available) and indicates it along with the information about the beam failure in the BFR MAC CE.

Upon reception of a PDCCH indicating an uplink grant for a new transmission for the HARQ process used for the transmission of the BFR MAC CE, beam failure recovery for this SCell is considered complete.

After beam failure is detected for a TRP, the UE:

- triggers beam failure recovery by initiating a transmission of a BFR MAC CE for this TRP;

- selects a suitable beam for this TRP (if available) and indicates whether the suitable (new) beam is found or not along with the information about the beam failure in the BFR MAC CE for this TRP.

Upon reception of a PDCCH indicating an uplink grant for a new transmission for the HARQ process used for the transmission of the BFR MAC CE for this TRP, beam failure recovery for this TRP is considered complete.