**3GPP TSG-RAN WG4 Meeting #97-e *R4-2017182***

**Electronic Meeting, 2nd Nov – 13th Nov 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
|  |
|  | **38.133** | **CR** | 1307 | **rev** | **1** | **Current version:** | **16.5.0** |  |
|  |
| *For* [***HELP***](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 |  | Core Network |  |

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| --- |
|  |
| ***Title:***  | CR to 38.133: Correction to SRS carrier based switching requirements |
|  |  |
| ***Source to WG:*** | ZTE |
| ***Source to TSG:*** | R4 |
|  |  |
| ***Work item code:*** | NR\_newRAT-Core |  | ***Date:*** | 2020-11-10 |
|  |  |  |  |  |
| ***Category:*** | F |  | ***Release:*** | Rel-16 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
|  |  |
| ***Reason for change:*** | 1. There are redundant sentences in the requirements that should be removed.
2. Wording should be improved to make the requirements clearer.
 |
|  |  |
| ***Summary of change:*** | * Removed redundant sentences
* Changed ‘and’ to ‘or’
* Removed duplicated u=0 row in Table 8.2.1.2.12-1
 |
|  |  |
| ***Consequences if not approved:*** | The requirements is unclear. |
|  |  |
| ***Clauses affected:*** | 8.2.1.2.12, 8.2.2.2.9, 8.2.3.2.11, 8.2.4.2.9 |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **x** |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **x** |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** |  |

*< Start of change #1 >*

##### 8.2.1.2.12 Interruptions at NR SRS carrier based switching

SRS transmission can be configured on a carrier not configured for PUCCH/PUSCH transmission. When a UE needs to transmit periodic, semi-persistent or aperiodic SRS on a carrier of a serving cell not configured for PUCCH/PUSCH transmission, the UE can perform carrier based switching to one or more carriers not configured for PUCCH/PUSCH transmission from a carrier with PUCCH/PUSCH transmission or from a carrier not configured for PUCCH/PUSCH transmission prior to transmitting SRS, provided that:

- switching is from a configured carrier to an active UL BWP of another activated carrier;

- the carrier of SCells not configured for PUCCH/PUSCH transmission to which SRS carrier based switching is performed is indicated by DCI SRS request field for aperiodic SRS transmission, or indicated by MAC-CE for semi-persistent SRS transmission, or configured via RRC for periodic SRS transmission;

- the serving cell, from which SRS carrier based switching is performed and whose UL transmission may therefore be interrupted, is indicated by srs-SwitchFromServCellIndex and srs-SwitchFromCarrier in TS38.331 [2];

- the SRS switching is not colliding with any other transmission with higher priority defined in TS 38.214 [26].

- the SRS switching is not colliding with any measurements in SCG.

- for UE, which does not support simultaneous reception and transmission for inter-band TDD CA specified in TS 38.331 [2], and is compliant to the requirements for inter-band CA with uplink in one NR band and without simultaneous Rx/Tx specified in TS 38.101 [5], the SRS transmission are not simultaneously scheduled with DL SSB/CSI-RS for L3 or L1 measurements transmission on other carriers.

The UE shall not perform SRS carrier based switching if the above conditions cannot be met.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in SCG if UE is not capable of Per-FR gap, or on active serving cell(s) in SCG in FR1 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.1.2.12-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in SCG if UE is not capable of Per-FR gap, or on active serving cell(s) in SCG in FR2 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.1.2.12-2.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in SCG if UE is not capable of Per-FR gap, or on active serving cell(s) in SCG in FR1 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.1.2.12-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in SCG if UE is not capable of Per-FR gap, or on active serving cell(s) in SCG in FR2 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.1.2.12-2.

Table 8.2.1.2.12-1: Interruption length X1 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot length | SRS carrier | Interruption length X1 (slots) |
|  | (ms) of victim cell | switching time (us)Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 15 | 30 |
| 0 | 1 | ≤ 200 | 2 | 2 |
|  |  | 300, 500 | 2 | 2 |
|  |  | 900 | 3 | 3 |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| 1 | 0.5 | ≤ 200 | 3 | 2 |
|  |  | 300, 500 | 3 | 3 |
|  |  | 900 | 4 | 4 |
| 2 | 0.25 | ≤ 200 | 4 | 3 |
|  |  | 300, 500 | 5 | 4 |
|  |  | 900 | 7 | 6 |
| 3 | 0.125 | ≤ 200 | 7 | 5 |
|  |  | 300, 500 | 9 | 7 |
|  |  | 900 | 12 | 10 |
| Note1: NR SRS carrier switching time is UE capability indicated by higher layer parameter *SRS-SwitchingTimeNR*. |

Table 8.2.1.2.12-2: Interruption length X2 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot | SRS carrier | Interruption length X2 (slots) |
|  | length (ms) of victim cell | switching time (us) Note | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 60 | 120 |
| 0 | 1 | ≤ 200 | 2 | 2 |
| 1 | 0.5 | ≤ 200 | 2 | 2 |
| 2 | 0.25 | ≤ 200 | 3 | 3 |
| 3 | 0.125 | ≤ 200 | 4 | 4 |

For intra-band SRS carrier switching in FR1 or FR2, interruptions in Table 8.2.1.2.12-1 and in Table 8.2.1.2.12-2 based on SRS carrier switching time ≤ 200us shall apply. For inter-band SRS carrier switching in FR1 or between FR1 and FR2, interruptions in Table 8.2.1.2.12-1 and in Table 8.2.1.2.12-2 shall apply.

*< End of change #1 >*

*< Start of change #2 >*

##### 8.2.2.2.9 Interruptions at NR SRS carrier based switching

SRS transmission can be configured on a carrier not configured for PUCCH/PUSCH transmission. When a UE needs to transmit periodic, semi-persistent or aperiodic SRS on a carrier of a serving cell not configured for PUCCH/PUSCH transmission, the UE can perform carrier based switching to one or more carriers not configured for PUCCH/PUSCH transmission from a carrier with PUCCH/PUSCH transmission or from a carrier not configured for PUCCH/PUSCH transmission prior to transmitting SRS, provided that:

- switching is from a configured carrier to another activated carrier;

- the carrier of SCells not configured for PUCCH/PUSCH transmission to which SRS carrier based switching is performed is indicated by DCI SRS request field for aperiodic SRS transmission, or indicated by MAC-CE for semi-persistent SRS transmission, or configured via RRC for periodic SRS transmission;

- the serving cell, from which SRS carrier based switching is performed and whose UL transmission may therefore be interrupted, is indicated by srs-SwitchFromServCellIndex and srs-SwitchFromCarrier in TS38.331 [2];

- the SRS switching is not colliding with any other transmission with higher priority defined in TS 38.214 [26].

- for UE, which does not support simultaneous reception and transmission for inter-band TDD CA specified in TS 38.331 [2], and is compliant to the requirements for inter-band CA with uplink in one NR band and without simultaneous Rx/Tx specified in TS 38.101 [5], the SRS transmission are not simultaneously scheduled with DL SSB/CSI-RS for L3 or L1 measurements transmission on other carriers.

The UE shall not perform SRS carrier based switching if the above conditions cannot be met.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR1 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.2.2.9-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR2 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.2.2.9-2.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR1 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.2.2.9-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR2 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.2.2.9-2.

Table 8.2.2.2.9-1: Interruption length X1 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot length  | SRS carrier  | Interruption length X1 (slots) |
|  | (ms) of victim cell | switching time (us)Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 15 | 30 |
| 0 | 1 | ≤ 200 | 2 | 2 |
|  |  | ≤ 200 | 2 | 2 |
|  |  | 300, 500 | 2 | 2 |
| 1 | 0.5 | ≤ 200 | 3 | 2 |
|  |  | 300, 500 | 3 | 3 |
|  |  | 900 | 4 | 4 |
| 2 | 0.25 | ≤ 200 | 4 | 3 |
|  |  | 300, 500 | 5 | 4 |
|  |  | 900 | 7 | 6 |
| 3 | 0.125 | ≤ 200 | 7 | 5 |
|  |  | 300, 500 | 9 | 7 |
|  |  | 900 | 12 | 10 |
| Note1: NR SRS carrier switching time is UE capability indicated by higher layer parameter *SRS-SwitchingTimeNR*. |

Table 8.2.2.2.9-2: Interruption length X2 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot | SRS carrier | Interruption length X2 (slots) |
|  | length (ms) of victim cell | switching time (us) Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 60 | 120 |
| 0 | 1 | ≤ 200 | 2 | 2 |
| 1 | 0.5 | ≤ 200 | 2 | 2 |
| 2 | 0.25 | ≤ 200 | 3 | 3 |
| 3 | 0.125 | ≤ 200 | 4 | 4 |

For intra-band SRS carrier switching in FR1 or FR2, interruptions in Table 8.2.2.2.9-1 and in Table 8.2.2.2.9-2 based on SRS carrier switching time ≤ 200us shall apply. For inter-band SRS carrier switching in FR1 or between FR1 and FR2, interruptions in Table 8.2.2.2.9-1 and in Table 8.2.2.2.9-2 shall apply.

*< End of change #2 >*

*< Start of change #3 >*

##### 8.2.3.2.11 Interruptions at NR SRS carrier based switching

SRS transmission can be configured on a carrier not configured for PUCCH/PUSCH transmission. When a UE needs to transmit periodic, semi-persistent or aperiodic SRS on a carrier of a serving cell not configured for PUCCH/PUSCH transmission, the UE can perform carrier based switching to one or more carriers not configured for PUCCH/PUSCH transmission from a carrier with PUCCH/PUSCH transmission or from a carrier not configured for PUCCH/PUSCH transmission prior to transmitting SRS, provided that:

- switching is from a configured carrier to another activated carrier;

- the carrier of SCells not configured for PUCCH/PUSCH transmission to which SRS carrier based switching is performed is indicated by DCI SRS request field for aperiodic SRS transmission, or indicated by MAC-CE for semi-persistent SRS transmission, or configured via RRC for periodic SRS transmission;

- the serving cell, from which SRS carrier based switching is performed and whose UL transmission may therefore be interrupted, is indicated by srs-SwitchFromServCellIndex and srs-SwitchFromCarrier in TS38.331 [2];

- the SRS switching is not colliding with any other transmission with higher priority defined in TS 38.214 [26].

- for UE, which does not support simultaneous reception and transmission for inter-band TDD CA specified in TS 38.331 [2], and is compliant to the requirements for inter-band CA with uplink in one NR band and without simultaneous Rx/Tx specified in TS 38.101 [5], the SRS transmission are not simultaneously scheduled with DL SSB/CSI-RS for L3 or L1 measurements transmission on other carriers.

The UE shall not perform SRS carrier based switching if the above conditions cannot be met.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in MCG if UE is not capable of Per-FR gap, or on active serving cell(s) in MCG in FR1 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.3.2.11-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in MCG if UE is not capable of Per-FR gap, or on active serving cell(s) in MCG in FR2 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.3.2.11-2.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in MCG if UE is not capable of Per-FR gap, or on active serving cell(s) in MCG in FR1 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.3.2.11-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell in MCG if UE is not capable of Per-FR gap, or on active serving cell(s) in MCG in FR2 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.3.2.11-2.

Table 8.2.3.2.11-1: Interruption length X1 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot length | SRS carrier | Interruption length X1 (slots) |
|  | (ms) of victim cell | switching time (us)Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 15 | 30 |
| 0 | 1 | ≤ 200 | 2 | 2 |
|  |  | 300, 500 | 2 | 2 |
|  |  | 900 | 3 | 3 |
| 1 | 0.5 | ≤ 200 | 3 | 2 |
|  |  | 300, 500 | 3 | 3 |
|  |  | 900 | 4 | 4 |
| 2 | 0.25 | ≤ 200 | 4 | 3 |
|  |  | 300, 500 | 5 | 4 |
|  |  | 900 | 7 | 6 |
| 3 | 0.125 | ≤ 200 | 7 | 5 |
|  |  | 300, 500 | 9 | 7 |
|  |  | 900 | 12 | 10 |
| Note1: NR SRS carrier switching time is UE capability indicated by higher layer parameter *SRS-SwitchingTimeNR*. |

Table 8.2.3.2.11-2: Interruption length X2 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot | SRS carrier | Interruption length X2 (slots) |
|  | length (ms) of victim cell | switching time (us) Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 60 | 120 |
| 0 | 1 | ≤ 200 | 2 | 2 |
| 1 | 0.5 | ≤ 200 | 2 | 2 |
| 2 | 0.25 | ≤ 200 | 3 | 3 |
| 3 | 0.125 | ≤ 200 | 4 | 4 |

For intra-band SRS carrier switching in FR1 or FR2, interruptions in Table 8.2.3.2.11-1 and in Table 8.2.3.2.11-2 based on SRS carrier switching time ≤ 200us shall apply. For inter-band SRS carrier switching in FR1 or between FR1 and FR2, interruptions in Table 8.2.3.2.11-1 and in Table 8.2.3.2.11-2 shall apply.

*< End of change #3 >*

*< Start of change #4 >*

##### 8.2.4.2.9 Interruptions at NR SRS carrier based switching

SRS transmission can be configured on a carrier not configured for PUCCH/PUSCH transmission. When a UE needs to transmit periodic, semi-persistent or aperiodic SRS on a carrier of a serving cell not configured for PUCCH/PUSCH transmission, the UE can perform carrier based switching to one or more carriers not configured for PUCCH/PUSCH transmission from a carrier with PUCCH/PUSCH transmission or from a carrier not configured for PUCCH/PUSCH transmission prior to transmitting SRS, provided that:

- switching is from a configured carrier to another activated carrier;

- the carrier of SCells not configured for PUCCH/PUSCH transmission to which SRS carrier based switching is performed is indicated by DCI SRS request field for aperiodic SRS transmission, or indicated by MAC-CE for semi-persistent SRS transmission, or configured via RRC for periodic SRS transmission;

- the serving cell, from which SRS carrier based switching is performed and whose UL transmission may therefore be interrupted, is indicated by srs-SwitchFromServCellIndex and srs-SwitchFromCarrier in TS38.331 [2];

- the SRS switching is not colliding with any other transmission with higher priority defined in TS 38.214 [26].

- for UE, which does not support simultaneous reception and transmission for inter-band TDD CA specified in TS 38.331 [2], and is compliant to the requirements for inter-band CA with uplink in one NR band and without simultaneous Rx/Tx specified in TS 38.101 [5], the SRS transmission are not simultaneously scheduled with DL SSB/CSI-RS for L3 or L1 measurements transmission on other carriers.

The UE shall not perform SRS carrier based switching if the above conditions cannot be met.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR1 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.4.2.9-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR2 if UE is capable of Per-FR gap, during the switching to the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.4.2.9-2.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR1 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR1 not configured for PUCCH/PUSCH transmission,

- with up to X1 slot as specified in Table 8.2.4.2.9-1.

When SRS carrier based switching is performed between carriers, the UE is allowed interruptions on any active serving cell if UE is not capable of Per-FR gap, or on active serving cell(s) in FR2 if UE is capable of Per-FR gap, during the switching from the carrier of a serving cell in FR2 not configured for PUCCH/PUSCH transmission,

- with up to X2 slot as specified in Table 8.2.4.2.9-2.

Table 8.2.4.2.9-1: Interruption length X1 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot length  | SRS carrier | Interruption length X1 (slots) |
|  |  (ms) of victim cell | switching time (us)Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 15 | 30 |
| 0 | 1 | ≤ 200 | 2 | 2 |
|  |  | 300, 500 | 2 | 2 |
|  |  | 900 | 3 | 3 |
| 1 | 0.5 | ≤ 200 | 3 | 2 |
|  |  | 300, 500 | 3 | 3 |
|  |  | 900 | 4 | 4 |
| 2 | 0.25 | ≤ 200 | 4 | 3 |
|  |  | 300, 500 | 5 | 4 |
|  |  | 900 | 7 | 6 |
| 3 | 0.125 | ≤ 200 | 7 | 5 |
|  |  | 300, 500 | 9 | 7 |
|  |  | 900 | 12 | 10 |
| Note1: NR SRS carrier switching time is UE capability indicated by higher layer parameter *SRS-SwitchingTimeNR*. |

Table 8.2.4.2.9-2: Interruption length X2 (slot)

|  |  |  |  |
| --- | --- | --- | --- |
|  | NR Slot | SRS carrie | Interruption length X2 (slots) |
|  | length (ms) of victim cell | switching time (us) Note 1 | Sub carrier spacing for agressor cell (kHz) |
|  |  |  | 60 | 120 |
| 0 | 1 | ≤ 200 | 2 | 2 |
| 1 | 0.5 | ≤ 200 | 2 | 2 |
| 2 | 0.25 | ≤ 200 | 3 | 3 |
| 3 | 0.125 | ≤ 200 | 4 | 4 |

For intra-band SRS carrier switching in FR1or FR2, interruptions in Table 8.2.2.2.9-1 and in Table 8.2.2.2.9-2 based on SRS carrier switching time ≤ 200us shall apply. For inter-band SRS carrier switching in FR1 or between FR1 and FR2, interruptions in Table 8.2.2.2.9-1 and in Table 8.2.2.2.9-2 shall apply.

*< End of change #4 >*