**3GPP TSG-RAN WG4 Meeting #97-e R4-2017515**

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

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.101-4** | **CR** | **0102** | **rev** | **1** | **Current version:** | **16.2.0** |  |
|  | | | | | | | | |
| *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 |  | Core Network |  |

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| ***Title:*** | CR to TS 38.101-4: Applicability rules for URLLC UE demodulation requirements | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Huawei, HiSilicon | | | | | | | | | |
| ***Source to TSG:*** | RAN4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_L1enh\_URLLC-Perf | | | | |  | ***Date:*** | | | 2020-10-10 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | B |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | For URLLC UE demodulation requirements, four new demodulation requirements are defined for FR1 and two for FR2. To clearly introduce new demodulation requirements in specification, applicability rules for these demodulation requirements should be clarified. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | For applicability rules, add features in section 5.1.1.3 and 5.1.1.4 for FR1, section 7.1.1.3 and 7.1.1.4 for FR2. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | NR UE demodulation requirements applicability is not completed. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.1.1.3 5.1.1.4 7.1.1.3 7.1.1.4 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **x** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | | **x** |  | Test specifications | | | | TS 38.521-4 | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | | Resubmission of endorsed draftCR R4-2012651 | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | R4-2015622 | | | | | | | | |

*<Start of the change 1>*

### 5.1.1 Applicability of requirements

#### 5.1.1.1 General

The minimum performance requirements are applicable to all FR1 operating bands defined in TS 38.101-1[6].

The minimum performance requirements in Clause 5 are mandatory for UE supporting NR operation, except test cases listed in Clauses 5.1.1.3, 5.1.1.4.

#### 5.1.1.2 Applicability of requirements for different number of RX antenna ports

The number of RX antenna ports for different RF operating bands is up to UE declaration.

The UE shall support 2 or 4 RX antenna ports for different RF operating bands. The operating bands, where 4 RX antenna ports shall be the baseline, are defined in Clause 7.2 of TS 38.101-1 [6]. The UE requirements applicability for UEs with different number of RX antenna ports is defined in Table 5.1.1.2-1.

Table 5.1.1.2-1: Requirements applicability

|  |  |  |
| --- | --- | --- |
| Supported RX antenna ports | Test type | Test list |
| UE supports only 2RX | PDSCH | All tests in Clause 5.2.2 |
| PDCCH | All tests in Clause 5.3.2 |
| PBCH | All tests in Clause 5.4.2 |
| UE supports only 4RX or both 2RX and 4RX | PDSCH | All tests in Clause 5.2.3 |
| PDCCH | All tests in Clause 5.3.3 |
| PBCH | All tests in Clause 5.4.2 or 5.4.3 (Note) |
| Note: Requirements for PBCH with 4Rx is up to UE declaration | | |

#### 5.1.1.3 Applicability of requirements for optional UE features

The performance requirements in Table 5.1.1.3-1 shall apply for UEs which support optional UE features only.

Table 5.1.1.3-1: Requirements applicability for optional UE features

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| UE feature/capability [14] | Test type | | Test list | Applicability notes |
| SU-MIMO Interference Mitigation advanced receiver | FR1 FDD | PDSCH | Clause 5.2.2.1.1 (Test 3-1)  Clause 5.2.3.1.1 (Test 5-1) |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.1 (Test 3-1)  Clause 5.2.3.2.1 (Test 5-1) |
| Alternative additional DMRS position for co-existence with LTE CRS *(additionalDMRS-DL-Alt)* | FR1 FDD | PDSCH | Clause 5.2.2.1.4 (Test 1-2)  Clause 5.2.3.1.4 (Test 1-2) |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.4 (Test 1-2)  Clause 5.2.3.2.4 (Test 1-2) |  |
| Basic DL NR-NR CA operation (*supportedBandCombinationList*) | NR CA | SDR | Clause 5.5A.1 | 1)Up to 16 DL carriers  2)Same numerology across carrier for data/control channel at a given time |
| Alternative 64QAM MCS table for PDSCH (*dl-64QAM-MCS-TableAlt*) | FR1 FDD | PDSCH | Clause 5.2.2.1.5  Clause 5.2.3.1.5  Clause 5.2.2.1.6  Clause 5.2.3.1.6 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.5  Clause 5.2.3.2.5  Clause 5.2.2.2.6  Clause 5.2.3.2.6 |
| CQI table with target BLER of 10^-5 (cqi-TableAlt) | FR1 FDD | PDSCH | Clause 5.2.2.1.5  Clause 5.2.3.1.5 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.5  Clause 5.2.3.2.5 |
| PDSCH repetitions over multiple slots *(pdsch-RepetitionMultiSlots)* | FR1 FDD | PDSCH | Clause 5.2.2.1.6  Clause 5.2.3.1.6 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.6  Clause 5.2.3.2.6 |
| UE PDSCH processing capability #2 *(pdsch-ProcessingType2)* | FR1 FDD | PDSCH | Clause 5.2.2.1.7  Clause 5.2.3.1.7 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.7  Clause 5.2.3.2.7 |
| Pre-emption indication for DL *(pre-EmptIndication-DL)* | FR1 FDD | PDSCH | Clause 5.2.2.1.8  Clause 5.2.3.1.8 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.8  Clause 5.2.3.2.8 |  |

#### 5.1.1.4 Applicability of requirements for mandatory UE features with capability signalling

The performance requirements in Table 5.1.1.4-1 shall apply for UEs which support mandatory UE features with capability signalling only.

Table 5.1.1.4-1: Requirements applicability for mandatory features with UE capability signalling

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| UE feature/capability [14] | Test type | | Test list | Applicability notes |
| 256QAM modulation scheme for PDSCH for FR1 (*pdsch-256QAM-FR1*) | FR1 FDD | PDSCH | Clause 5.2.2.1.1 (Test 1-3)  Clause 5.2.3.1.1 (Test 1-3) |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.1 (Test 1-3)  Clause 5.2.3.2.1 (Test 1-3) |  |
| PDSCH mapping type B (*pdsch-MappingTypeB*) | FR1 FDD | PDSCH | Clause 5.2.2.1.3  Clause 5.2.3.1.3  Clause 5.2.2.1.7  Clause 5.2.3.1.7 |  |
| FR1 TDD | PDSCH | Clause 5.2.2.2.3  Clause 5.2.3.2.3  Clause 5.2.2.2.7  Clause 5.2.3.2.7 |
| Rate-matching around LTE CRS (*rateMatchingLTE-CRS*) | FR1 FDD | PDSCH | Clause 5.2.2.1.4  Clause 5.2.3.1.4 | For UEs supporting “Alternative additional DMRS position for co-existence with LTE CRS”, if Test 1-2 is tested, the test coverage can be considered fulfilled without executing Test 1-1. Otherwise, only Test 1-1 is tested. |
| FR1 TDD | PDSCH | Clause 5.2.2.2.4  Clause 5.2.3.2.4 |  |
| Supported maximum number of ports across all configured NZP-CSI-RS resources per CC (*maxConfigNumberPortsAcrossNZP-CSI-RS-PerCC*) | FR1 FDD | PDSCH | Clause 5.2.2.1.4 (Tests 1-1, 1-2)  Clause 5.2.3.1.1 (Tests 3-1, 4-1, 5-1)  Clause 5.2.3.1.4 (Tests 1-1, 1-2) | The requirements apply only in case the number of NZP-CSI-RS ports in the test case satisfies UE capability on maximum number of NZP-CSI-RS ports |
| FR1 TDD | PDSCH | Clause 5.2.3.2.1 (Test 3-1, 4-1, 5-1) |
| Supported maximum number of PDSCH MIMO layers (*maxNumberMIMO-LayersPDSCH*) | FR1 FDD | PDSCH | Clause 5.2.2.1.1 (Tests 2-1, 2-2, 3-1)  Clause 5.2.2.1.2  Clause 5.2.3.1.1 (Tests 2-1, 2-2, 3-1, 4-1, 5-1)  Clause 5.2.3.1.2 | The requirements apply only in case the PDSCH MIMO rank in the test case does not exceed UE PDSCH MIMO layers capability |
| FR1 TDD | PDSCH | Clause 5.2.2.2.1 (Tests 2-1, 2-2, 3-1)  Clause 5.2.2.2.2  Clause 5.2.3.2.1 (Tests 2-1, 2-2, 3-1, 4-1, 5-1)  Clause 5.2.3.2.2 |

*<End of the change 1>*

*<Start of the change 2>*

### 7.1.1 Applicability of requirements

#### 7.1.1.1 General

The minimum performance requirements are applicable to the FR2 operating bands defined in TS 38.101-2 [7] with FDL\_high not exceeding 40000 MHz.

The minimum performance requirements in Clause 7 are mandatary for UE supporting NR operation, except test cases listed in Clause 7.1.1.3, 7.1.1.4.

#### 7.1.1.2 Applicability of requirements for different number of RX antenna ports

UE shall support 2 RX ports for different RF operating bands. The UE requirements applicability is defined in Table 7.1.1.2-1.

Table 7.1.1.2-1: Requirements applicability

|  |  |  |
| --- | --- | --- |
| **Supported RX antenna ports** | **Test type** | **Test list** |
| UE supports 2RX antenna ports | PDSCH | All tests in Clause 7.2.2 |
| PDCCH | All tests in Clause 7.3.2 |
| PBCH | All tests in Clause 7.4.2 |

#### 7.1.1.3 Applicability of requirements for optional UE features

The performance requirements in Table 7.1.1.3-1 shall apply for UEs which support optional UE features only..

Table 7.1.1.3-1: Requirements applicability for optional UE features

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **UE feature/capability [14]** | **Test type** | | **Test list** | **Applicability notes** |
| SU-MIMO Interference Mitigation advanced receiver | FR2 TDD | PDSCH | Clause 7.2.2.2.1 (Test 3-1) |  |
| Basic DL NR-NR CA operation (*supportedBandCombinationList*) | NR CA | SDR | Clause 7.5A.1 | 1) Up to 16 DL carriers  2) Same numerology across carrier for data/control channel at a given time |
| PDSCH repetitions over multiple slots *(pdsch-RepetitionMultiSlots)* | FR2 TDD | PDSCH | Clause 7.2.2.2.2 |  |

7.1.1.4 Applicability of requirements for mandatory UE features with capability signalling

The performance requirements in Table 7.1.1.4-1 shall apply for UEs which support mandatory UE features with capability signalling only.

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Table 7.1.1.4-1: Requirements applicability for mandatory features with UE capability signalling

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| UE feature/capability [14] | Test type | | Test list | Applicability notes |
| Supported maximum number of PDSCH MIMO layers (*maxNumberMIMO-LayersPDSCH)* | FR2 TDD | PDSCH | Clause 7.2.2.2.1 (Tests from 2-1 to 2-6) | The requirements apply only in case the PDSCH MIMO rank in the test case does not exceed UE PDSCH MIMO layers capability |
| Support of PT-RS with one antenna port for DL reception (*onePortsPTRS*) | FR2 TDD | PDSCH | Clause 7.2 |  |
| SDR | Clause 7.5.1  Clause 7.5A.1 |
| PCell operation on FR2 (*pCell-FR2*) | FR2 TDD | SDR | Clause 7.5A.1 |  |
| PDSCH mapping type B (*pdsch-MappingTypeB*) | FR2 TDD | PDSCH | Clause 7.2.2.2.3 |  |

*<End of the change 2>*