**3GPP TSG-RAN4 Meeting #97-e *R4-2014531***

**Online, , 2nd Nov 2020 - 13th Nov 2020**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.133** | **CR** | **1186** | **rev** | **-** | **Current version:** | **16.5.0** |  |
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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 |  | Core Network |  |

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| ***Title:*** | CR on R16 CSI-RS based L3 measurements | | | | | | | | | |
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| ***Source to WG:*** | vivo | | | | | | | | | |
| ***Source to TSG:*** | R4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_CSIRS\_L3meas-Core | | | | |  | ***Date:*** | | | 2020-10-22 |
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| ***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 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)* | |
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| ***Reason for change:*** | | 1. Capture last meeting agreements on the number of layers. 2. Remove the side condition for SSB measurement in clause 9.10.2.2 of TS 38.133 3. Remove the exact number of cells to be monitored in clause 9.10.2.3. 4. The description on relation between CSI-RS for RRM and CSI-RS for RLM is removed. 5. Avoid some duplication | | | | | | | | |
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| ***Summary of change:*** | | 1. Capture last meeting agreements on the number of layers. 2. Remove the side condition for SSB measurement in clause 9.10.2.2 of TS 38.133 3. Remove the exact number of cells to be monitored in clause 9.10.2.3. 4. The description on relation between CSI-RS for RRM and CSI-RS for RLM is removed. 5. Avoid some duplication | | | | | | | | |
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| ***Consequences if not approved:*** | | 1. The agreements on the number of layers are not captured and the spec is not clear. 2. Lots of duplicated or redundent restriction. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 9.1.3.2; 9.1.3.2a; 9.1.3.2b; 9.1.3.2c; 9.10.1; 9.10.2.2; 9.10.2.3; 9.10.3.2; 9.10.3.3 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | | **X** |  | Test specifications | | | | TS 38.533 | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

## << Start of change 1>>

9.1.3.2 EN-DC: Maximum allowed layers for multiple monitoring

If a UE is configured with EN-DC operation, the UE shall be capable of monitoring at least:

- Depending on UE capability, 7 NR SSB inter-frequency carriers configured by PSCell, and

- Depending on UE capability, 8 NR inter-frequency carriers including SSB and CSI-RS in total configured by PSCell, and

- Depending on UE capability, 7 NR SSB inter-RAT carriers excluding NR serving carrier(s) configured by E-UTRA PCell [15], and

- Depending on UE capability, 6 E-UTRA TDD inter-frequency carriers configured by E-UTRA PCell [15], and

- Depending on UE capability, 6 E-UTRA FDD inter-frequency carriers configured by E-UTRA PCell [15], and

- Depending on UE capability, 3 FDD UTRA carriers, and

- Depending on UE capability, 3 TDD UTRA carriers, and

- Depending on UE capability, 32 GSM carriers (one GSM layer corresponds to 32 carriers), and

- Depending on UE capability, 1 E-UTRA FDD inter-frequency carrier for RSTD measurements configured via LPP [22], and

- Depending on UE capability, 1 E-UTRA TDD inter-frequency carrier for RSTD measurements configured via LPP [22].

In addition to the requirements defined above, the UE shall be capable of monitoring a total of at least 13 effective carrier frequency layers comprising of any above defined combination of NR, E-UTRA FDD, E-UTRA TDD, UTRA FDD, UTRA TDD and GSM (one GSM layer corresponds to 32 carriers) layers. The UE shall be capable of monitoring a total of at least 7 + NCSI effective NR carrier frequency layers excluding NR serving carrier(s), comprising of any above defined combination of NR inter-RAT carriers excluding NR serving carrier(s) configured by E-UTRA PCell and NR inter-frequency carriers configured by PSCell, NCSI equals 1 if UE supports CSI-RS based L3 measurement, and NCSI =0 otherwise.

The number of SSB frequency layers equals to the total number of MOs with

- *ssb-ConfigMobility* configured, or

- *ssb-ConfigMobility* not configured but *csi-rs-ResourceConfigMobility* configured with *associatedSSB*.

If *ssbfrequency, smtc1, smtc2* and *ssbSubcarrierSpacing* are same in multiple MOs, the multiple MOs are counted as one SSB frequency layer.

The number of CSI-RS frequency layers equals to the number of MOs with *csi-rs-ResourceConfigMobility* configured.

If both *ssb-ConfigMobility* and *csi-rs-ResourceConfigMobility* are configured in the same *MeasObjectNR*, they are counted as 1 SSB layer and 1 CSI-RS layer.

When the E-UTRA PCell and PSCell configures the same NR carrier frequency layer to be monitored by the UE in synchronous intra-band EN-DC, this layer shall be counted only once to the total number of effective carrier frequency layers provided that the SFN-s and slot boundaries are aligned, unless the configured NR carrier frequency layers to be monitored have

- different RSSI measurement resourcesor

- different *deriveSSB-IndexFromCell* indications or

- different SMTC configurations or

- different *ssb-PositionQCL-Common-r16* indications or cell list of *ssb-PositionQCL* on NR carrier frequency layer with CCA or

- different *rmtc-Config-r16* indication on NR carrier frequency layer with CCA.

Note 1: The E-UTRA-NR dual connectivity capable UE configured with PSCell shall fulfil the requirements defined in only one of clause 9.1.3.2 and clause 8.1.2.1.1b.1 of TS 36.133 [15].

9.1.3.2a SA: Maximum allowed layers for multiple monitoring

If a UE is configured with SA NR operation mode, the UE shall be capable of monitoring at least:

- Depending on UE capability, 7 NR SSB inter-frequency carriers configured by PCell, and

- Depending on UE capability, 8 NR inter-frequency carriers including SSB and CSI-RS in total configured by PCell, and

- Depending on UE capability, 7 E-UTRA TDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 7 E-UTRA FDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 3 UTRA FDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 1 E-UTRA FDD inter-RAT carrier for RSTD measurements configured via LPP [22], and

- Depending on UE capability, 1 E-UTRA TDD inter-RAT carrier for RSTD measurements configured via LPP [22].

In addition to the requirements defined above, the UE shall be capable of monitoring a total of at least [13] effective carrier frequency layers comprising of any above defined combination of NR, E-UTRA FDD, E-UTRA TDD and UTRA FDD layers.

The number of SSB frequency layers equals to the total number of MOs with

- *ssb-ConfigMobility* configured, or

- *ssb-ConfigMobility* not configured but *csi-rs-ResourceConfigMobility* configured with *associatedSSB*.

If *ssbfrequency, smtc1, smtc2* and *ssbSubcarrierSpacing* are same in multiple MOs, the multiple MOs are counted as one SSB frequency layer.

The number of CSI-RS frequency layers equals to the number of MOs with *csi-rs-ResourceConfigMobility* configured.

If both *ssb-ConfigMobility* and *csi-rs-ResourceConfigMobility* are configured in the same *MeasObjectNR*, they are counted as 1 SSB layer and 1 CSI-RS layer.

9.1.3.2b NE-DC: Maximum allowed layers for multiple monitoring

If a UE is configured with NE-DC operation mode, the UE shall be capable of monitoring at least:

- Depending on UE capability, 7 NR SSB inter-frequency carriers configured by PCell, and

- Depending on UE capability, 8 NR inter-frequency carriers including SSB and CSI-RS in total configured by PCell, and

- Depending on UE capability, 6 E-UTRA TDD inter-RAT carriers excluding E-UTRA serving carriers configured by PCell, and

- Depending on UE capability, 6 E-UTRA FDD inter-RAT carriers excluding E-UTRA serving carriers configured by PCell, and

- Depending on UE capability, 6 E-UTRA TDD inter-frequency carriers configured by E-UTRA PSCell [15], and

- Depending on UE capability, 6 E-UTRA FDD inter-frequency carriers configured by E-UTRA PSCell [15], and

- Depending on UE capability, 3 UTRA FDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 1 E-UTRA FDD inter-frequency carrier for RSTD measurements configured via LPP [22], and

- Depending on UE capability, 1 E-UTRA TDD inter-frequency carrier for RSTD measurements configured via LPP [22].

In addition to the requirements defined above, the UE shall be capable of monitoring a total of at least 13 effective carrier frequency layers comprising of any above defined combination of NR, E-UTRA FDD, E-UTRA TDD and UTRA FDD layers. The UE shall be capable of monitoring a total of at least 6 effective E-UTRA carrier frequency layers, excluding E-UTRA serving carrier(s), comprising of any above defined combination of E-UTRA inter-RAT carriers excluding E-UTRA serving carrier(s) configured by PCell and E-UTRA inter-frequency carriers configured by E-UTRA PSCell.

The number of SSB frequency layers equals to the total number of MOs with

- *ssb-ConfigMobility* configured, or

- *ssb-ConfigMobility* not configured but *csi-rs-ResourceConfigMobility* configured with *associatedSSB*.

If *ssbfrequency, smtc1, smtc2* and *ssbSubcarrierSpacing* are same in multiple MOs, the multiple MOs are counted as one SSB frequency layer.

The number of CSI-RS frequency layers equals to the number of MOs with *csi-rs-ResourceConfigMobility* configured.

If both *ssb-ConfigMobility* and *csi-rs-ResourceConfigMobility* are configured in the same *MeasObjectNR*, they are counted as 1 SSB layer and 1 CSI-RS layer.

9.1.3.2c NR-DC: Maximum allowed layers for multiple monitoring

If a UE is configured with NR-DC operation, the UE shall be capable of monitoring at least:

- Depending on UE capability, 7 NR SSB inter-frequency carriers configured by PCell, and

- Depending on UE capability, 8 NR inter-frequency carriers including SSB and CSI-RS in total configured by PCell, and

- Depending on UE capability, 7 NR SSB inter-frequency carriers configured by PSCell, and

- Depending on UE capability, 8 NR inter-frequency carriers including SSB and CSI-RS in total configured by PSCell, and

- Depending on UE capability, 7 E-UTRA TDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 7 E-UTRA FDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 3 UTRA FDD inter-RAT carriers configured by PCell, and

- Depending on UE capability, 1 E-UTRA FDD inter-RAT carrier for RSTD measurements configured via LPP [22], and

- Depending on UE capability, 1 E-UTRA TDD inter-RAT carrier for RSTD measurements configured via LPP [22].

In addition to the requirements defined above, the UE shall be capable of monitoring a total of at least 13 effective carrier frequency layers comprising of any above defined combination of NR, E-UTRA FDD, E-UTRA TDD and UTRA FDD layers. The UE shall be capable of monitoring a total of at least 7 + NCSI effective NR carrier frequency layers excluding NR serving carrier(s), which are configured by PCell and PSCell, NCSI equals 1 if UE supports CSI-RS based L3 measurement, and NCSI =0 otherwise.

The number of SSB frequency layers equals to the total number of MOs with

- *ssb-ConfigMobility* configured, or

- *ssb-ConfigMobility* not configured but *csi-rs-ResourceConfigMobility* configured with *associatedSSB*.

If *ssbfrequency, smtc1, smtc2* and *ssbSubcarrierSpacing* are same in multiple MOs, the multiple MOs are counted as one SSB frequency layer.

The number of CSI-RS frequency layers equals to the number of MOs with *csi-rs-ResourceConfigMobility* configured.

If both *ssb-ConfigMobility* and *csi-rs-ResourceConfigMobility* are configured in the same *MeasObjectNR*, they are counted as 1 SSB layer and 1 CSI-RS layer.

When PCell and PSCell configures the same NR carrier frequency layer to be monitored by the UE in NR-DC, this layer shall be counted only once to the total number of effective carrier frequency layers provided that the SFN-s and slot boundaries are aligned, unless the configured NR carrier frequency layers to be monitored have

- different RSSI measurement resourcesor

- different *deriveSSB-IndexFromCell* indications or

- different SMTC configurations or

- different *ssb-PositionQCL-Common-r16* indications or cell list of *ssb-PositionQCL* on NR carrier frequency layer with CCA or

- different *rmtc-Config-r16* indication on NR carrier frequency layer with CCA.

## << End of change 1>>

## << Start of change 2>>

### 9.10.1 Introduction

This clause contains general requirements on the UE regarding CSI-RS based measurement reporting in RRC\_CONNECTED state. The requirements are split in intra-frequency and inter-frequency measurements requirements.

The requirements in this clause apply, provided:

- Only one MO is configured on the CSI-RS layer, and

- all CSI-RS resources in the same MO are configured with the same csi-rs-MeasurementBW, and

- associated SSB is QCLed with the corresponding CSI-RS resources in FR2, and

- the CSI-RS resources on one frequency layer are configured within a window of up to 5ms where the measurements of CSI-RS on the frequency layer are to be performed, and

- the number of CSI-RS resources in any duration that equal to the length of a slot is no larger than UE capability *maxNumberCSI-RS-RRM-RS-SINR*.

## << End of change 2>>

## << Start of change 3>>

### 9.10.3 CSI-RS based Inter-frequency measurements

#### 9.10.3.1 Introduction

A measurement is defined as a CSI-RS based inter-frequency measurement provided it is not defined as an intra-frequency measurement according to clause 9.10.2.

If a UE is configured with the higher layer parameter *CSI-RS-Resource-Mobility* and the higher layer parameter *associatedSSB* is configured, the UE shall be able to identify inter-frequency cells indicated for measurement and perform CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements of identified inter-frequency cells.

When measurement gaps are needed, the UE is not expected to detect the associated SSB nor perform measurement of the CSI-RS resource configured in *CSI-RS-Resource-Mobility* on an inter-frequency measurement object which start earlier than the gap starting time + switching time, and ends later than the gap end – switching time. When the inter-frequency cells are in FR2 and the per-FR gap is configured to the UE in EN-DC, SA NR, NE-DC and NR-DC, or the serving cells are in FR2, the inter-frequency cells are in FR2 and the per-UE gap is configured to the UE in SA NR and NR-DC, the switching time is 0.25ms. Otherwise the switching time is 0.5ms.

#### 9.10.3.2 Requirements applicability

The associated SSB layer of the CSI-RS follows the same requirements as SSB based measurements defined in 9.3.

The requirements in clause 9.10.3 apply, provided:

- The associated SSB of the cell being identified or measured is detectable, and

- CSI-RS resources for measurements and the associated SSB for cell identification are configured within measurement gap.

An inter-frequency cell shall be considered detectable when for each relevant CSI-RS and associated SSB:

- The associated SSB shall be considered detectable when it meets the side condition of SSB\_RP and SSB Ês/Iot according to Annex B.2.3 for a corresponding Band.

- CSI-RSRP related side conditions given in clauses 10.1.x and 10.1.x for FR1 and FR2, respectively, for a corresponding Band,

- CSI-RSRQ related side conditions given in clauses 10.1.x and 10.1.x for FR1 and FR2, respectively, for a corresponding Band,

- CSI-SINR related side conditions given in clauses 10.1.x and 10.1.x for FR1 and FR2, respectively, for a corresponding Band,

- CSI \_RP and CSI-RS Ês/Iot according to Annex B.2.x for a corresponding Band.

#### 9.10.3.3 Number of cells and number of CSI-RS resources

##### 9.10.3.3.1 Requirements for FR1

For each inter-frequency CSI-RS layer, during each layer 1 measurement period, the UE shall be capable of performing CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements for at least:

- 14 CSI-RSs with different CSI-RS index and/or PCI, and

- The cells to be monitored based on CSI-RS are the same set or a subset of the cells monitored based on the layer of the associated SSB.

##### 9.10.3.3.2 Requirements for FR2

For each inter-frequency CSI-RS layer, during each layer 1 measurement period, the UE shall be capable of performing CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements for at least:

- 24 CSI-RSs with different CSI-RS index and/or PCI, and

- The cells to be monitored based on CSI-RS are the same set or a subset of the cells monitored based on the layer the associated SSB.

#### 9.10.3.4 Measurements reporting requirements

##### 9.10.3.4.1 Periodic Reporting

Reported CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements contained in periodically triggered measurement reports shall meet the requirements in clauses 10.1.

##### 9.10.3.4.2 Event-triggered Periodic Reporting

Reported CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements contained in periodically triggered measurement reports shall meet the requirements in clauses 10.1.

The first report in event triggered periodic measurement reporting shall meet the requirements specified in clause 9.10.3.4.3.

##### 9.10.3.4.3 Event-triggered Reporting

Reported CSI-RSRP, CSI-RSRQ, and CSI-SINR measurements contained in periodically triggered measurement reports shall meet the requirements in clauses 10.1.

The UE shall not send any event triggered measurement reports, as long as no reporting criteria are fulfilled.

The measurement reporting delay is defined as the time between an event that will trigger a measurement report and the point when the UE starts to transmit the measurement report over the air interface. This requirement assumes that the measurement report is not delayed by other RRC signalling on the DCCH. This measurement reporting delay excludes a delay uncertainty resulted when inserting the measurement report to the TTI of the uplink DCCH. The delay uncertainty is: 2 × TTIDCCH. This measurement reporting delay excludes a delay which caused by no UL resources for UE to send the measurement report.

The event triggered measurement reporting delay, measured without L3 filtering shall be within CSI-RS based measurement defined in clause 9.11.3.5.When L3 filtering is used an additional delay can be expected.

#### 9.10.3.5 Inter frequency measurements with measurement gaps

When measurement gaps are provided, if configured with the higher layer parameters *CSI-RS-Resource-Mobility* and *associatedSSB,* the UE shall be able to identify a new detectable CSI-RS based inter frequency cell within T CSI-RS\_identify\_inter,

T CSI-RS\_identify\_inter = (TPSS/SSS\_sync + T CSI-RS\_measurement\_period\_inter + TSSB\_time\_index) ms

Where:

TPSS/SSS\_sync is the time period used in PSS/SSS detection and TSSB\_time\_index is the time period used to acquire the index of the SSB being measured, which are determined according to TPSS/SSS\_sync\_inter and TSSB\_time\_index\_inter given in clause 9.3.4 for SSB based inter-frequency measurement,

TCSI-RS\_measurement\_period\_inter: equal to a measurement period of CSI-RS based measurement given in table 9.10.3.5-1 and table 9.10.3.5-2.

Mmeas\_period\_inter: For a UE supporting FR2 power class 1, Mmeas\_period\_inter =8×N samples. For a UE supporting FR2 power class 2, Mmeas\_period\_inter=5×N samples. For a UE supporting FR2 power class 3, Mmeas\_period\_inter =5×N samples. For a UE supporting FR2 power class 4, Mmeas\_period\_inter = 5×N samples. Note that scaling factor N = [8]. CSSFinter: it is a carrier specific scaling factor and is determined according to CSSFwithin\_gap,i in clause 9.1.5 for measurement conducted within measurement gaps.

Additionally, for a given CSI-RS resource, if the associated SSB is configured but not detected by the UE, or if CSI-RS configured with associated SSB but not QCL-ed to the associated SSB, the UE is not required to monitor the corresponding CSI-RS resource.

Table 9.10.3.5-1: Measurement period for CSI-RS based inter-frequency measurements with gaps (Frequency FR1)

|  |  |
| --- | --- |
| Condition NOTE1,2 | T CSI-RS\_measurement\_period\_inter |
| No DRX | Max(200ms, 8 × Max(MGRP, CSI-RS period)) × CSSFinter |
| DRX cycle ≤ 320ms | Max(200ms, Ceil(8 × 1.5) × Max(MGRP, CSI-RS period, DRX cycle)) × CSSFinter |
| DRX cycle > 320ms | 8 × DRX cycle × CSSFinter |
| NOTE 1: DRX or non DRX requirements apply according to the conditions described in clause 3.6.1  NOTE 2: In EN-DC operation, the parameters, timers and scheduling requests referred to in clause 3.6.1 are for the secondary cell group. The DRX cycle is the DRX cycle of the secondary cell group. | |

Table 9.10.3.5-2: Measurement period for CSI-RS based inter-frequency measurements with gaps (Frequency FR2)

|  |  |
| --- | --- |
| Condition NOTE1,2 | T CSI-RS\_measurement\_period\_inter |
| No DRX | Max(400 ms, Mmeas\_period\_inter × Max(MGRP, CSI-RS period)) × CSSFinter |
| DRX cycle ≤ 320ms | Max(400 ms, (1.5 × Mmeas\_period\_inter) × Max(MGRP, CSI-RS period, DRX cycle)) × CSSFinter |
| DRX cycle > 320ms | Mmeas\_period\_inter × DRX cycle × CSSFinter |
| NOTE 1: DRX or non DRX requirements apply according to the conditions described in clause 3.6.1  NOTE 2: In EN-DC operation, the parameters, timers and scheduling requests referred to in clause 3.6.1 are for the secondary cell group. The DRX cycle is the DRX cycle of the secondary cell group. | |

## << End of change 3>>