**3GPP TSG-RAN WG4 Meeting #98-e R4-2103836**

**Electronic Meeting, 25th Jan - 5th Feb, 2021**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.101-4** | **CR** | **0145** | **rev** | **1** | **Current version:** | **16.3.0** |  |
|  | | | | | | | | |
| *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 on SDR requirements for DL 256QAM for FR2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Huawei, HiSilicon | | | | | | | | | |
| ***Source to TSG:*** | R4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_DL256QAM\_FR2-Perf | | | | |  | ***Date:*** | | | 2021-02-01 |
|  |  | | | |  | |  | | |  |
| ***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:*** | | Introduce SDR requirements for DL 256QAM for FR2 as per RAN4 agreements | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | For SDR requirements, update Section 7.1.1.3 and 7.5A.1. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | There will be inconsistence between the specification 38.101-4 and RAN 4 agreements. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 7.1.1.3, 7.5A.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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 Draft CR R4-2017538 | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | R4-2101299 | | | | | | | | |

<Start of the change 1>

#### 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 |  |
| 256QAM for PDSCH (*pdsch-256QAM-FR2*) | FR2 TDD | SDR | Clause 7.5A.1 | For UE capable of *pdsch-256QAM-FR2* for certain band(s), *mcs-Table* is configured to ‘64QAM’ for SDR test. |

<End of the change 1>

<Start of the change 2>

### 7.5A.1 FR2 CA requirements

The Sustained Data Rate (SDR) requirements in this clause are applicable to the FR2 CA.

The purpose of the test is to verify that the Layer 1 and Layer 2 correctly process in a sustained manner the received packets corresponding to the maximum data rate indicated by UE capabilities*.* The sustained downlink data rate shall be verified in terms of the success rate of delivered PDCP SDU(s) by Layer 2. The test case below specifies the RF conditions and the required success rate of delivered TB by Layer 1 to meet the sustained data rate requirement.

The test parameters are determined by the following procedure:

- Step 1: Calculate the date rate for all supported CA configurations and set of per component carrier (CC) UE capabilities among all supported UE capabilities:

- Use Table 7.5A.1-3 to determine the MCS (=MCS1) achieving the largest data rate [clause 4.1.2 of TS 38.306 [14]] based on UE capabilities.

- Use Table 7.5A.1-4 to determine the largest MCS (=MCS2) requiring SNR below test equipment maximum achievable SNR for that CA configuration.

- Compute the data rate for CA configuration using the MCS = min(MCS1,MCS2) and the following equation for each CC in CA bandwidth combination.

where

J is the number of aggregated component carriers in CA bandwidth combination

TBSj is the total number of DL-SCH transport block bits calculated based on methodology in Clause 5.1.3.2 of TS 38.214 [12] and using parameters from Table 7.5A.1-1

µj is provided in Clause 4.2 of TS 38.211 for different subcarrier spacing values

- Step 2: Choose the CA bandwidth combination among all supported CA configurations that achieves maximum data rate in step 1 among all UE capabilities.

- Set of per CC UE capabilities includes channel bandwidth, subcarrier spacing, number of PDSCH MIMO layers, modulation format and scaling factor in accordance with clause 4.1.2 of TS 38.306 [14].

- When there are multiple sets of CA bandwidth combinations and UE capabilities (channel bandwidth, subcarrier spacing, number of MIMO layer, modulation format, scaling factor) with same data rate, select one among sets with the smallest aggregated channel bandwidth.

- Step 3: For each CC in chosen CA bandwidth combination, use determined MCS for each CC in step 1 for that CA configuration based on test parameters and indicated UE capabilities.

The TB success rate shall be higher than 85% when PDSCH is scheduled with MCS defined for the selected CA bandwidth combination and with the downlink physical channel setup according to Annex C.3.1.

The TB success rate is defined as 100%\*NDL\_correct\_rx/ (NDL\_newtx + NDL\_retx), where NDL\_newtx is the number of newly transmitted DL transport blocks, NDL\_retx is the number of retransmitted DL transport blocks, and NDL\_correct\_rx is the number of correctly received DL transport blocks.

The test parameters are specified in Table 7.5A.1-1.

Unless otherwise stated, no user data is scheduled on slot #0, 40 and 41 within 20 ms for SCS 60 kHz.

Unless otherwise stated, no user data is scheduled on slot #0, 80 and 81 within 20 ms for SCS 120 kHz.

Table 7.5A.1-1: Test parameters for FR2 TDD

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Parameter | | | Unit | Value |
| PDSCH transmission scheme | | |  | Transmission scheme 1 |
| PTRS epre-Ratio | | |  | 0 |
| Channel bandwidth | | | MHz | Channel bandwidth from selected CA bandwidth combination |
| Common serving cell parameters | Physical Cell ID | |  | 0 |
| SSB position in burst | |  | First SSB in Slot #0 |
| SSB periodicity | | ms | 20 |
| First DMRS position for Type A PDSCH mapping | |  | 2 |
| Cross carrier scheduling | | |  | Not configured |
| Active DL BWP index | | |  | 1 |
| Actual carrier configuration | Offset between Point A and the lowest usable subcarrier on this carrier (Note 3) | | RBs | 0 |
| Subcarrier spacing | | kHz | 60 or 120 |
| DL BWP configuration #1 | RB Offset | |  | 0 |
| Number of contiguous PRB | |  | Maximum transmission bandwidth configuration as specified in clause 5.3.2 of TS 38.101-2 [7] for tested channel bandwidth and subcarrier spacing |
| Subcarrier spacing | | kHz | 60 or 120 |
| Cyclic prefix | |  | Normal |
| PDCCH configuration | Slots for PDCCH monitoring | |  | Each slot |
| Symbols with PDCCH | |  | Symbols #0 |
| Number of PRBs in CORESET | |  | Table 7.5A.1-2 |
| Number of PDCCH candidates and aggregation levels | |  | 1/8 |
| CCE-to-REG mapping type | |  | Non-interleaved |
| DCI format | |  | 1-1 |
| TCI State | |  | TCI state #1 |
| PDCCH &PDCCH DMRS Precoding configuration | |  | Single Panel Type I, Random per slot with equal probability of precoder index 0 and 2, and with REG bundling granularity for number of Tx larger than 1 |
| PDSCH configuration | Mapping type | |  | Type A |
| k0 | |  | 0 |
| PDSCH aggregation factor | |  | 1 |
| PRB bundling type | |  | Static |
| PRB bundling size | |  | WB |
| Resource allocation type | |  | Type 0 |
| RBG size | |  | Config2 |
| VRB-to-PRB mapping type | |  | Non-interleaved |
| VRB-to-PRB mapping interleaver bundle size | |  | N/A |
| Starting symbol (S) | |  | 1 |
| Length (L) | |  | 13 |
| PDSCH DMRS configuration | DMRS Type | |  | Type 1 |
| Number of additional DMRS | |  | 1 |
| Length | |  | 1 |
| Antenna ports indexes | |  | {1000} for 1 Layer CCs {1000, 1001} for 2 Layers CCs |
| Number of PDSCH DMRS CDM group(s) without data | |  | 1 |
| PTRS configuration | Frequency density (*KPT-RS*) | |  | 2 |
| Time density (*LPT-RS*) | |  | 1 |
| CSI-RS for tracking | Subcarrier indexes in the PRB used for CSI-RS | |  | k0 = 3 for CSI-RS resource 1,2,3,4 |
| OFDM symbols in the PRB used for CSI-RS | |  | l0 = 6 for CSI-RS resource 1 and 3  l0 = 10 for CSI-RS resource 2 and 4 |
| Number of CSI-RS ports (X) | |  | 1 for CSI-RS resource 1,2,3,4 |
| CDM Type | |  | 'No CDM' for CSI-RS resource 1,2,3,4 |
| Density (ρ) | |  | 3 for CSI-RS resource 1,2,3,4 |
| CSI-RS periodicity | | Slots | 60 kHz SCS: 80 for CSI-RS resource 1,2,3,4  120 kHz SCS: 160 for CSI-RS resource 1,2,3,4 |
| CSI-RS offset | | Slots | 60 kHz SCS:  40 for CSI-RS resource 1 and 2  41 for CSI-RS resource 3 and 4  120 kHz SCS:  80 for CSI-RS resource 1 and 2  81 for CSI-RS resource 3 and 4 |
| Frequency Occupation | |  | Start PRB 0  Number of PRB = BWP size |
| QCL info | |  | TCI state #0 |
| NZP CSI-RS for CSI acquisition | Subcarrier indexes in the PRB used for CSI-RS | |  | k0 = 4 |
| OFDM symbols in the PRB used for CSI-RS | |  | l0 = 13 |
| Number of CSI-RS ports (X) | |  | Same as number of transmit antenna |
| CDM Type | |  | 'FD-CDM2' |
| Density (ρ) | |  | 1 |
| CSI-RS periodicity | | Slots | 60 kHz SCS: 80  120 kHz SCS: 160 |
| CSI-RS offset | |  | 0 |
| Frequency Occupation | |  | Start PRB 0  Number of PRB = BWP size |
| QCL info | |  | TCI state #1 |
| ZP CSI-RS for CSI acquisition | Subcarrier indexes in the PRB used for CSI-RS | |  | k0 = 0 |
| OFDM symbols in the PRB used for CSI-RS | |  | l0 = 12 |
| Number of CSI-RS ports (X) | |  | 4 |
| CDM Type | |  | 'FD-CDM2' |
| Density (ρ) | |  | 1 |
| CSI-RS periodicity | | Slots | 60 kHz SCS: 80  120 kHz SCS: 160 |
| CSI-RS offset | |  | 0 |
| Frequency Occupation | |  | Start PRB 0  Number of PRB = BWP size |
| CSI-RS for beam refinement | First subcarrier index in the PRB used for CSI-RS | |  | k0=0 for CSI-RS resource 1,2 |
| First OFDM symbol in the PRB used for CSI-RS | |  | l0 = 8 for CSI-RS resource 1  l0 = 9 for CSI-RS resource 2 |
| Number of CSI-RS ports (X) | |  | 1 for CSI-RS resource 1,2 |
| CDM Type | |  | 'No CDM' for CSI-RS resource 1,2 |
| Density (ρ) | |  | 3 for CSI-RS resource 1,2 |
| CSI-RS periodicity | | Slots | 60 kHz SCS: 80 for CSI-RS resource 1,2  120 kHz SCS: 160 for CSI-RS resource 1,2 |
| CSI-RS offset | | Slots | 0 for CSI-RS resource 1,2 |
| Repetition | |  | ON |
| QCL info | |  | TCI state #1 |
| TCI state #0 | Type 1 QCL information | SSB index |  | SSB #0 |
| QCL Type |  | Type C |
| Type 2 QCL information | SSB index |  | SSB #0 |
| QCL Type |  | Type D |
| TCI state #1 | Type 1 QCL information | CSI-RS resource |  | CSI-RS resource 1 from 'CSI-RS for tracking' configuration |
| QCL Type |  | Type A |
| Type 2 QCL information | CSI-RS resource |  | CSI-RS resource 1 from 'CSI-RS for tracking' configuration |
| QCL Type |  | Type D |
| Maximum number of code block groups for ACK/NACK feedback | | |  | 1 |
| Number of HARQ Processes | | |  | 10 for FR2.60-1 and 8 for FR2.120-1 |
| K1 value | | |  | Specific to each UL-DL pattern |
| Maximum number of HARQ transmission | | |  | 4 |
| HARQ ACK/NACK bundling | | |  | Multiplexed |
| Redundancy version coding sequence | | |  | {0,2,3,1} |
| TDD UL-DL pattern | | |  | 60 kHz SCS: FR2.60-1  120 kHz SCS: FR2.120-1 |
| PDSCH & PDSCH DMRS Precoding configuration | | |  | Single Panel Type I, Precoder index 0 per slot with Wideband granularity for Rank 2 |
| Symbols for all unused Res | | |  | OCNG Annex A.5 |
| Propagation condition | | |  | Static propagation condition  No external noise sources are applied |
| Antenna configuration | 1 layer CCs | |  | 1x2 or 1x4 |
| 2 layers CCs | |  | 2x2 or 2x4 |
| Physical signals, channels mapping and precoding | | |  | As specified in Annex B.4.1 |
| Note 1: PDSCH is scheduled only on full DL slots not containing SSB or TRS.  Note 2: UE assumes that the TCI state for the PDSCH is identical to the TCI state applied for the PDCCH transmission.  Note 3: Point A coincides with minimum guard band as specified in Table 5.3.3-1 from TS 38.101-2 [7] for tested channel bandwidth and subcarrier spacing. | | | | |

Table 7.5A.1-2: Number of PRBs in CORESET

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| SCS (kHz) | 50 MHz | 100 MHz | 200 MHz | 400 MHz |
| 60 | 66 | 132 | 264 | N.A |
| 120 | 30 | 66 | 132 | 264 |

Table 7.5A.1-3: MCS indexes for indicated UE capabilities

|  |  |  |  |
| --- | --- | --- | --- |
| **Maximum number of PDSCH MIMO layers** | **Maximum modulation format (Note 1)** | **Scaling factor** | **MCS (Note 2)** |
| 1 | 6 | 1 | 27 |
| 1 | 6 | 0.8 | 23 |
| 1 | 6 | 0.75 | 22 |
| 1 | 6 | 0.4 | 14 |
| 1 | 4 | 1 | 16 |
| 1 | 4 | 0.8 | 16 |
| 1 | 4 | 0.75 | 16 |
| 1 | 4 | 0.4 | 10 |
| 1 | 2 | 1 | 9 |
| 1 | 2 | 0.8 | 9 |
| 1 | 2 | 0.75 | 9 |
| 1 | 2 | 0.4 | 4 |
| 2 | 6 | 1 | 27 |
| 2 | 6 | 0.8 | 23 |
| 2 | 6 | 0.75 | 22 |
| 2 | 6 | 0.4 | 14 |
| 2 | 4 | 1 | 16 |
| 2 | 4 | 0.8 | 16 |
| 2 | 4 | 0.75 | 16 |
| 2 | 4 | 0.4 | 10 |
| 2 | 2 | 1 | 9 |
| 2 | 2 | 0.8 | 9 |
| 2 | 2 | 0.75 | 9 |
| 2 | 2 | 0.4 | 4 |
| Note 1: For the band(s) on which UE supporting “Maximum modulation format” of 8, the MCS index is derived from the rows with “Maximum modulation format” of 6.  Note 2: MCS Index is based on MCS index Table 1 defined in clause 5.1.3.1 of TS 38.214 [12]. | | | |

Table 7.5A.1-4: SNR required to achieve 85% of peak throughput under AWGN conditions

|  |  |  |
| --- | --- | --- |
| MCS Index (Note 1) | SNRBB(dB) for maximum number of PDSCH MIMO Layers = 1 | SNRBB(dB) for maximum number of PDSCH MIMO Layers = 2 |
| 13 | 6.2 | 9.0 |
| 14 | 7.2 | 9.9 |
| 15 | 8.2 | 10.9 |
| 16 | 8.7 | 11.6 |
| 17 | 10.1 | 13.2 |
| 18 | 10.7 | 13.7 |
| 19 | 11.7 | 14.7 |
| 20 | 12.7 | 15.6 |
| 21 | 13.6 | 16.5 |
| 22 | 14.8 | 17.6 |
| 23 | 15.6 | 18.6 |
| 24 | 16.9 | 19.7 |
| 25 | 18.3 | 21.2 |
| 26 | 19.3 | 22.3 |
| 27 | 20.5 | 23.3 |
| Note 1: MCS Index is based on MCS index Table 1 defined in clause 5.1.3.1 of TS 38.214 [12]. | | |

<End of the change 2>