3GPP TSG-RAN WG4 Meeting # 102-e R4-2203849

Electronic Meeting, February 21 – March 3, 2022

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.133** | **CR** | **draftCR** | **rev** | **-** | **Current version:** | **16.10.0** |  |
|  | | | | | | | | |
| *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:*** | draft Cat-F CR (R16) to SCell Activation Test Cases NR-U | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Qualcomm Incorporated | | | | | | | | | |
| ***Source to TSG:*** | R4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_unlic-Perf | | | | |  | ***Date:*** | | | 2022-02-21 |
|  |  | | | |  | |  | | |  |
| ***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-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
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| ***Reason for change:*** | | According to RAN1 spec, TS38.214, UE is supposed to drop CQI report before receiving at least one CSI-RS transmission occasion for channel measurement during SCell activation which conflicts with test description and criteria on CQI report during SCell activation.  An excerpt from TS38.214:  After the CSI report (re)configuration, serving cell activation, BWP change, or activation of SP-CSI, the UE reports a CSI report only after receiving at least one CSI-RS transmission occasion for channel measurement and CSI-RS and/or CSI-IM occasion for interference measurement no later than CSI reference resource and drops the report otherwise. | | | | | | | | |
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| ***Summary of change:*** | | Added a condition where UE does not have to transmit a CSI report during SCell acivation. | | | | | | | | |
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| ***Consequences if not approved:*** | | UE compliant with RAN1 spec could fail test cases. | | | | | | | | |
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| ***Clauses affected:*** | | A.10.3.3.1, A.10.3.3.1.2, A.10.3.3.2.2, A.10.3.3.3.2, A.11.4.3.1.1, A.11.4.3.1.2, A.11.4.3.2.2, A.11.4.3.3.2, A.13.2.2.1.1, A.13.2.2.1.2, A.13.2.2.2.2, A.13.2.2.3.2 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **x** | Other core specifications | | | |  | | |
| ***affected:*** | | **x** |  | Test specifications | | | |  | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | |  | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

### <Start of Change 1>

A.10.3.3.1 SCell Activation and Deactivation of known NR SCell with NR PSCell and NR SCell under CCA, 160 ms SCell measurement cycle

A.10.3.3.1.1 Test Purpose and Environment

The purpose of this test is to verify that SCell activation and deactivation delays for NR SCell, with NR PSCell and NR SCell both under CCA, are within the requirements stated in clause 8.3A, when the SCell is known by the UE at the time of activation and the configured SCell measurement cycle is 160 ms.

The supported test configurations are shown in Table A.10.3.3.1.1-1.

The test parameters are given in Table A.10.3.3.1.1-2 and cell-specific parameters for NR cells are provided in Table A.10.3.3.1.1-3 below. Cell-specific parameters for EUTRA PCell are provided in clause A.3.7.2.1.

The test consists of three successive time periods, with duration of T1, T2 and T3, respectively. There are three carriers, each with one cell: Cell 1 (PCell) on radio channel 1 (PCC) in E-UTRA, Cell 2 (PSCell) on radio channel 2 (PSCC) in NR, and Cell3 (SCell) on radio channel 3 (SCC) in NR. Before the test starts the UE is connected to Cell 1 and Cell 2, but is not aware of Cell 3, as the UE is only monitoring PCC and PSCC. The UE shall be continuously scheduled in the PCell and PSCell throughout the whole test.

At the beginning of T1 the UE receives an RRC message by which the SCell (Cell 3) becomes configured on radio channel 2. The UE now starts monitoring the SCC. At the end of T1, the test equipment sends a MAC message for activation of the SCell.

The point in time at which the MAC message is received at the UE antenna connector, in a slot # denoted *m*, defines the start of time period T2. The UE shall be able to report a valid CSI in PSCell for the activated SCell at latest in slot *m* + (THARQ+ Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, as defined in clause 8.3A.2. The UE shall start reporting CSI in PSCell in first available uplink resource for CSI reporting after receiving at least one CSI-RS transmission occasion for channel measurement following slot *m+* and shall report CQI index 0 (out-of-range) until the SCell activation has been completed. Any PSCell interruption shall fall within the time window specified in clause 8.3A.2.

The point in time at which the MAC message is received by at the UE antenna connector, in a slot # denoted *n*, defines the start of time period T3. The UE shall complete the activation at latest in slot . Any PSCell interruption shall fall within the time window specified in clause 8.3A.3.

The test equipment verifies that potential interruption is carried out in the correct time span by monitoring ACK/NACK sent in PSCell during activation and deactivation of SCell, respectively.

The test equipment verifies the activation time by counting the slots from the time when the SCell activation command is sent until a CSI report with other than CQI index 0 is received, while taking into account CCA failures on SCC.

The test equipment verifies the deactivation time by counting the slots from the time when the SCell deactivation command is sent until CQI reporting for SCell is discontinued.

### <End of Change 1>

### <Start of Change 2>

A.10.3.3.1.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+ Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB + L1\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PSCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB.

During T3, interruption on PSCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PSCell shall not be more than specified for EN-DC in clause 8.2.1.2.4.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 2>

### <Start of Change 3>

A.10.3.3.2.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+ Tactivation\_time\_withCCA + TCSI\_reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + L2,1\*TSMTC\_MAX + (1 +L2,2)\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PSCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB\_MAX + L2,1\* TSMTC\_MAX.

During T3, interruption on PSCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PSCell shall not be more than specified for EN-DC in clause 8.2.1.2.4.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 3>

### <Start of Change 4>

A.10.3.3.3.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+ Tactivation\_time\_withCCA + TCSI\_reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + (1 + L3,1)\*TSMTC\_MAX + (2 + L3,2)\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PSCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB\_MAX + L3,1\* TSMTC\_MAX.

During T3, interruption on PSCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PSCell shall not be more than specified for EN-DC in clause 8.2.1.2.4.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 4>

### <Start of Change 5>

A.11.4.3.1.1 Test Purpose and Environment

The purpose of this test is to verify that SCell activation and deactivation delays for SCell, with PCell and SCell both under CCA, are within the requirements stated in clause 8.3A, when the SCell is known by the UE at the time of activation and the configured SCell measurement cycle is 160 ms.

The supported test configurations are shown in Table A.11.4.3.1.1-1.

The test parameters are given in Table A.11.4.3.1.1-2 and cell-specific parameters in Table A.11.4.3.1.1-3 below. The test consists of three successive time periods, with duration of T1, T2 and T3, respectively. There are two carriers, each with one cell: Cell 1 (PCell) on radio channel 1 (PCC) in NR with CCA, and Cell2 (SCell) on radio channel 2 (SCC) in NR with CCA. Before the test starts the UE is connected to Cell 1, but is not aware of Cell 2, as the UE is only monitoring the PCC. The UE shall be continuously scheduled in the PCell throughout the whole test.

At the beginning of T1 the UE receives an RRC message by which the SCell (Cell 2) becomes configured on radio channel 2. The UE now starts monitoring the SCC. At the end of T1, the test equipment sends a MAC message for activation of the SCell.

The point in time at which the MAC message is received at the UE antenna connector, in a slot # denoted *m*, defines the start of time period T2. The UE shall be able to report a valid CSI in PCell for the activated SCell at latest in slot *m* + (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, as defined in clause 8.3A.2. The UE shall start reporting CSI in PCell in first available uplink resource for CSI reporting after receiving at least one CSI-RS transmission occasion for channel measurement following slot *m+* and shall report CQI index 0 (out-of-range) until the SCell activation has been completed. Any PCell interruption shall fall within the time window specified in clause 8.3.2.

The point in time at which the MAC message is received by at the UE antenna connector, in a slot # denoted *n*, defines the start of time period T3. The UE shall complete the activation at latest in slot . Any PCell interruption shall fall within the time window specified in clause 8.3A.3.

The test equipment verifies that potential interruption is carried out in the correct time span by monitoring ACK/NACK sent in PCell during activation and deactivation of SCell, respectively.

The test equipment verifies the activation time by counting the slots from the time when the SCell activation command is sent until a CSI report with other than CQI index 0 is received, while taking into account CCA failures on SCC.

The test equipment verifies the deactivation time by counting the slots from the time when the SCell deactivation command is sent until CQI reporting for SCell is discontinued.

### <End of Change 5>

### <Start of Change 6>

A.11.4.3.1.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB + L1\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 6>

### <Start of Change 7>

A.11.4.3.2.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + L2,1\*TSMTC\_MAX + (1 +L2,2)\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB\_MAX + L2,1\* TSMTC\_MAX.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 7>

### <Start of Change 8>

A.11.4.3.3.2 Test Requirements

During T2, starting after receiving at least one CSI-RS transmission occasion for channel measurement from the slot specified in clause 4.3 of TS 38.213 [3] and until the UE has completed the SCell activation, the UE shall report out of range if the UE has available uplink resources to report CQI for the SCell.

During T2, the UE shall send the first valid CSI report (non-zero CQI) for the SCell in first available uplink resource for CSI reporting no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + (1 + L3,1)\*TSMTC\_MAX + (2 + L3,2)\*Trs + 5ms, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB\_MAX + L3,1\* TSMTC\_MAX.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 8>

### <Start of Change 9>

A.13.2.2.1.1 Test Purpose and Environment

The purpose of this test is to verify that SCell activation and deactivation delays for SCell on NR-U SCC with CCA are within the requirements stated in clause 8.3A, when the SCell is known by the UE at the time of activation and the configured SCell measurement cycle is 160 ms.

The supported test configurations are shown in Table A.13.2.2.1.1-1.

The test parameters are given in Table A.13.2.2.1.1-2 and cell-specific parameters in Table A.13.2.2.1.1-3 below. The test consists of three successive time periods, with duration of T1, T2 and T3, respectively. There are two carriers, each with one cell: Cell 1 (PCell) on radio channel 1 (PCC) in NR FR1, and Cell2 (SCell) on radio channel 2 (SCC) in NR with CCA. Before the test starts the UE is connected to Cell 1, but is not aware of Cell 2, as the UE is only monitoring the PCC. The UE shall be continuously scheduled in the PCell throughout the whole test.

At the beginning of T1 the UE receives an RRC message by which the SCell (Cell 2) becomes configured on radio channel 2. The UE now starts monitoring the SCC. At the end of T1, the test equipment sends a MAC message for activation of the SCell.

The point in time at which the MAC message is received at the UE antenna connector, in a slot # denoted *m*, defines the start of time period T2. The UE shall be able to report a valid CSI in PCell for the activated SCell at latest in slot *m* + , as defined in clause 8.3A.2. The UE shall start reporting CSI in PCell after receiving at least one CSI-RS transmission occasion for channel measurement after slot *m+* and shall report CQI index 0 (out-of-range) until the SCell activation has been completed.

Any PCell interruption shall fall within the time window specified in clause 8.3A.2. At the end of T2 the test equipment sends a MAC message for deactivation of the SCell.

The point in time at which the MAC message is received by at the UE antenna connector, in a slot # denoted *n*, defines the start of time period T3. The UE shall complete the activation at latest in slot . Any PCell interruption shall fall within the time window specified in clause 8.3A.3.

The test equipment verifies that potential interruption is carried out in the correct time span by monitoring ACK/NACK sent in PCell during activation and deactivation of SCell, respectively.

The test equipment verifies the activation time by counting the slots from the time when the SCell activation command is sent until a CSI report with other than CQI index 0 is received, while taking into account CCA failures on SCC.

The test equipment verifies the deactivation time by counting the slots from the time when the SCell deactivation command is sent until CQI reporting for SCell is discontinued.

### <End of Change 9>

### <Start of Change 10>

A.13.2.2.1.2 Test Requirements

During T2, the UE shall send the first CSI report for SCell after receiving at least one CSI-RS transmission occasion for channel measurement after slot *m+*1+

During T2, conditioned on that downlink CCA failures L1 and L2,2 experienced in the SCell fulfill L1 ≤ L1,max and L2,2 ≤ L2,2,max with L1,max = 2 and L2,2,max = 2, respectively, the UE shall send the first valid CSI report (non-zero CQI) for the SCell no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB + L1\*Trs + 5ms and TCSI\_reporting\_withCCA = TCSI\_reporting + L2,2\*TCSI-RS + TCSI\_ReportingDelay, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 10>

### <Start of Change 11>

A.13.2.2.2.2 Test Requirements

During T2, the UE shall send the first CSI report for SCell after receiving at least one CSI-RS transmission occasion for channel measurement after slot *m+*1+

During T2, conditioned on that downlink CCA failures L2,1 and L2,2 experienced in the SCell fulfill L2,1 ≤ L2,1,max and L2,2 ≤ L2,2,max with L2,1,max = 2 and L2,2,max = 2, respectively, the UE shall send the first valid CSI report (non-zero CQI) for the SCell no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + L2,1\*TSMTC\_MAX + (1 +L2,2)\*Trs + 5ms and TCSI\_reporting\_withCCA = TCSI\_reporting + TCSI\_ReportingDelay, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 11>

### <Start of Change 12>

A.13.2.2.3.2 Test Requirements

During T2, the UE shall send the first CSI report for SCell after receiving at least one CSI-RS transmission occasion for channel measurement after slot *m+*1+

During T2, conditioned on that downlink CCA failures L3,1 and L3,2 experienced in the SCell fulfill L3,1 ≤ L3,1,max and L3,2 ≤ L3,2,max with L3,1,max = 2 and L3,2,max = 2, respectively, the UE shall send the first valid CSI report (non-zero CQI) for the SCell no later than slot *m +* (THARQ+Tactivation\_time\_withCCA + TCSI\_Reporting\_withCCA)/NR\_slot\_length, where Tactivation\_time\_withCCA = TFirstSSB\_MAX + (1 + L3,1)\*TSMTC\_MAX + (2 + L3,2)\*Trs + 5ms and TCSI\_reporting\_withCCA = TCSI\_reporting + TCSI\_ReportingDelay, as specified in clause 8.3A.2.

During T3, the UE shall stop sending CSI reports for SCell at latest in slot , as defined in clause 8.3A.3.

During T2, interruption on PCell shall not occur outside slot *m* +1+ to slot *m* +1+ with TX = TFirstSSB.

During T3, interruption on PCell shall not occur outside slot *n* +1+THARQ/NR\_slot\_length to slot *n*+1+(THARQ +3ms)/NR\_slot\_length.

The interruption on PCell shall not be more than specified for SA in clause 8.2.2.2.2.

The rate of correctly observed SCell activation delays and SCell deactivation delays shall for repeated tests be at least 90%.

### <End of Change 12>