**3GPP TSG RAN WG1 #114** **R1-230xxxx**

**Toulouse, France, August 21st – 25th, 2023**

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| *CR-Form-v12.2* | | | | | | | | |
| **DRAFT CHANGE REQUEST** | | | | | | | | |
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|  | **38.213** | **CR** |  | **rev** |  | **Current version:** | **17.6.0** |  |
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| *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 | **x** | Core Network |  |

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| ***Title:*** | Introduction of further mobility enhancements | | | | | | | | | |
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| ***Source to WG:*** | Samsung | | | | | | | | | |
| ***Source to TSG:*** |  | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_mob\_enh2-Core | | | | |  | ***Date:*** | | | 2023-09-01 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | B |  | | | | | ***Release:*** | | | Rel-18 |
|  | *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-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18) Rel-19 (Release 19)* | |
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| ***Reason for change:*** | | Introduction of further mobility enhancements in NR. | | | | | | | | |
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| ***Summary of change:*** | | Introduce support for further mobility enhancements in NR. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | No support for further mobility enhancements in NR. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 7.4, 8.1, 21 (new clause) | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **x** |  | Other core specifications | | | | TS 38.321, TS 38.331 | | |
| ***affected:*** | |  | **x** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

\*\*\* Unchanged parts are omitted \*\*\*

## 7.4 Physical random access channel

A UE determines a transmission power for a physical random access channel (PRACH), , on active UL BWP of carrier of cell based on DL RS for cell in transmission occasion as

[dBm],

where

- is the UE configured maximum output power defined in [8-1, TS 38.101-1], [8-2, TS 38.101-2] and [8-3, TS 38.101-3] for carrier of cell within transmission occasion ,

- is the PRACH target reception power *PREAMBLE\_RECEIVED\_TARGET\_POWER* provided by higher layers [11, TS 38.321] for the active UL BWP of carrier of cell , and

- is a pathloss for the active UL BWP of carrier based on the DL RS associated with the PRACH transmission on the active DL BWP of cell and calculated by the UE in dB as *referenceSignalPower* – higher layer filtered RSRP in dBm, where RSRP is defined in [7, TS 38.215] and the higher layer filter configuration is defined in [12, TS 38.331]. If the active DL BWP is the initial DL BWP and for SS/PBCH block and CORESET multiplexing pattern 2 or 3 as described in clause 13, or for a non-serving cell, the UE determines based on the SS/PBCH block associated with the PRACH transmission.

If a PRACH transmission from a UE is not in response to a detection of a PDCCH order by the UE, or is in response to a detection of a PDCCH order by the UE that triggers a contention based random access procedure, or is associated with a link recovery procedure where a corresponding index is associated with a SS/PBCH block, as described in clause 6, *referenceSignalPower* is provided by *ss-PBCH-BlockPower*.

If a PRACH transmission from a UE is in response to a detection of a PDCCH order by the UE that triggers a contention-free random access procedure and depending on the DL RS that the DM-RS of the PDCCH order is quasi-collocated with as described in clause 10.1 when the PRACH transmission is on a serving cell, or depending on an indicated SS/PBCH block when the PRACH transmission is on a non-serving cell, *referenceSignalPower* is provided by a corresponding *ss-PBCH-BlockPower*. If the UE is configured resources for a periodic CSI-RS reception or the PRACH transmission is associated with a link recovery procedure where a corresponding index is associated with a periodic CSI-RS configuration as described in clause 6, *referenceSignalPower* is obtained by *ss-PBCH-BlockPower* and *powerControlOffsetSS* where *powerControlOffsetSS* provides an offset of CSI-RS transmission power relative to SS/PBCH block transmission power [6, TS 38.214]. If *powerControlOffsetSS* is not provided to the UE, the UE assumes an offset of 0 dB. If the active TCI state for the PDCCH that provides the PDCCH order includes two RS, the UE expects that one RS is configured with *qcl-Type* set to 'typeD' and the UE uses the one RS when applying a value provided by *powerControlOffsetSS*.

If within a random access response window, as described in clause 8.2, the UE does not receive a random access response that contains a preamble identifier corresponding to the preamble sequence transmitted by the UE, or when a random access response does not exist, the UE determines a transmission power for a subsequent PRACH transmission, if any, as described in [11, TS 38.321].

If prior to a PRACH retransmission, a UE changes the spatial domain transmission filter, Layer 1 notifies higher layers to suspend the power ramping counter as described in [11, TS 38.321].

If due to power allocation to PUSCH/PUCCH/PRACH/SRS transmissions as described in clause 7.5, or due to power allocation in EN-DC or NE-DC or NR-DC operation, or due to slot format determination as described in clause 11.1, or due to the PUSCH/PUCCH/PRACH/SRS transmission occasions are in the same slot or the gap between a PRACH transmission and PUSCH/PUCCH/SRS transmission is small as described in clause 8.1, or due to DAPS operation as described in clause 15, or due to HD-UE operation in paired spectrum as described in clause 17.2, the UE does not transmit a PRACH in a transmission occasion, Layer 1 notifies higher layers to suspend the corresponding power ramping counter. If due to power allocation to PUSCH/PUCCH/PRACH/SRS transmissions as described in clause 7.5, or due to power allocation in EN-DC or NE-DC or NR-DC operation, the UE transmits a PRACH with reduced power in a transmission occasion, Layer 1 may notify higher layers to suspend the corresponding power ramping counter.

\*\*\* Unchanged parts are omitted \*\*\*

## 8.1 Random access preamble

Physical random access procedure is triggered upon request of a PRACH transmission by higher layers or by a PDCCH order for a cell. A configuration by higher layers for a PRACH transmission includes the following:

- A configuration for PRACH transmission on the cell [4, TS 38.211].

- A preamble index, a preamble SCS, , a corresponding RA-RNTI when applicable [11, TS 38.321], and a PRACH resource for the cell.

A UE transmits a PRACH on a cell using the selected PRACH format with transmission power ,as described in clause 7.4, on the indicated PRACH resource.

For Type-1 random access procedure, a UE is provided a number of SS/PBCH block indexes associated with one PRACH occasion and a number of contention based preambles per SS/PBCH block index per valid PRACH occasion by *ssb-perRACH-OccasionAndCB-PreamblesPerSSB*.

For Type-2 random access procedure with common configuration of PRACH occasions with Type-1 random access procedure, a UE is provided a number of SS/PBCH block indexes associated with one PRACH occasion by *ssb-perRACH-OccasionAndCB-PreamblesPerSSB* and a number of contention based preambles per SS/PBCH block index per valid PRACH occasion by *msgA-CB-PreamblesPerSSB-PerSharedRO*. The PRACH transmission can be on a subset of PRACH occasions associated with a same SS/PBCH block index within an SSB-RO mapping cycle for a UE provided with a PRACH mask index by *msgA-SSB-SharedRO-MaskIndex* according to [11, TS 38.321].

For Type-2 random access procedure with separate configuration of PRACH occasions with Type-1 random access procedure, a UE is provided a number of SS/PBCH block indexes associated with one PRACH occasion and a number of contention based preambles per SS/PBCH block index per valid PRACH occasion by *msgA-SSB-PerRACH-OccasionAndCB-PreamblesPerSSB* when provided; otherwise, by *ssb-perRACH-OccasionAndCB-PreamblesPerSSB*.

For a random access procedure associated with a feature combination indicated by *FeatureCombinationPreambles*, a UE is provided a number of SS/PBCH block indexes associated with one PRACH occasion by *ssb-perRACH-OccasionAndCB-PreamblesPerSSB* or *msgA-SSB-PerRACH-OccasionAndCB-PreamblesPerSSB* when provided and a number of contention based preambles per SS/PBCH block index per valid PRACH occasion by *startPreambleForThisPartition* and *numberOfPreamblesPerSSB-ForThisPartition*. The PRACH transmission can be on a subset of PRACH occasions associated with a same SS/PBCH block index within an SSB-RO mapping cycle for a UE provided with a PRACH mask index by *ssb-SharedRO-MaskIndex* according to [11, TS 38.321].

For Type-1 random access procedure, or for Type-2 random access procedure with separate configuration of PRACH occasions from Type 1 random access procedure, if , one SS/PBCH block index is mapped to consecutive valid PRACH occasions and contention based preambles with consecutive indexes associated with the SS/PBCH block index per valid PRACH occasion start from preamble index 0. If , contention based preambles with consecutive indexes associated with SS/PBCH block index , , per valid PRACH occasion start from preamble index where is provided by *totalNumberOfRA-Preambles* for Type-1 random access procedure, or by *msgA-TotalNumberOfRA-Preambles* for Type-2 random access procedure with separate configuration of PRACH occasions from a Type 1 random access procedure, and is an integer multiple of .

For Type-2 random access procedure with common configuration of PRACH occasions with Type-1 random access procedure, if , one SS/PBCH block index is mapped to consecutive valid PRACH occasions and contention based preambles with consecutive indexes associated with the SS/PBCH block index per valid PRACH occasion start from preamble index . If , contention based preambles with consecutive indexes associated with SS/PBCH block index , , per valid PRACH occasion start from preamble index , where is provided by *totalNumberOfRA-Preambles* for Type-1 random access procedure.

For link recovery, a UE is provided SS/PBCH block indexes associated with one PRACH occasion by *ssb-perRACH-Occasion* in *BeamFailureRecoveryConfig*. For a dedicated RACH configuration provided by *RACH-ConfigDedicated*, if *cfra* is provided, a UE is provided SS/PBCH block indexes associated with one PRACH occasion by *ssb-perRACH-Occasion* in *occasions*. If , one SS/PBCH block index is mapped to consecutive valid PRACH occasions. If , all consecutive SS/PBCH block indexes are associated with one PRACH occasion.

SS/PBCH block indexes provided by *ssb-PositionsInBurst* in *SIB1* or in *ServingCellConfigCommon* are mapped to valid PRACH occasions in the following order where the parameters are described in [4, TS 38.211].

- First, in increasing order of preamble indexes within a single PRACH occasion

- Second, in increasing order of frequency resource indexes for frequency multiplexed PRACH occasions

- Third, in increasing order of time resource indexes for time multiplexed PRACH occasions within a PRACH slot

- Fourth, in increasing order of indexes for PRACH slots

An association period, starting from frame 0, for mapping SS/PBCH block indexes to PRACH occasions is the smallest value in the set determined by the PRACH configuration period according Table 8.1-1 such that SS/PBCH block indexes are mapped at least once to the PRACH occasions within the association period, where a UE obtains from the value of *ssb-PositionsInBurst* in *SIB1* or in *ServingCellConfigCommon*. If after an integer number of SS/PBCH block indexes to PRACH occasions mapping cycles within the association period there is a set of PRACH occasions or PRACH preambles that are not mapped to SS/PBCH block indexes, no SS/PBCH block indexes are mapped to the set of PRACH occasions or PRACH preambles. An association pattern period includes one or more association periods and is determined so that a pattern between PRACH occasions and SS/PBCH block indexes repeats at most every 160 msec. PRACH occasions not associated with SS/PBCH block indexes after an integer number of association periods, if any, are not used for PRACH transmissions.

For a PRACH transmission by a UE triggered by a PDCCH order, the PRACH mask index field, if the value of the random access preamble index field is not zero, indicates the PRACH occasion for the PRACH transmission where the PRACH occasions are associated with the SS/PBCH block index indicated by the SS/PBCH block index field of the PDCCH order and, if any, a cell indicator field indicates a cell for the PRACH transmission [5, TS 38.212]. If the UE is provided by *cellSpecificKoffset*, the PRACH occasion is after slot where is the slot of the UL BWP for the PRACH transmission that overlaps with the end of the PDCCH order reception assuming , and is the SCS configuration for the PRACH transmission. If the PDCCH reception for the PDCCH order includes two PDCCH candidates from two linked search space sets based on *searchSpaceLinkingId*, as described in clause 10.1, the last symbol of the PDCCH reception is the last symbol of the PDCCH candidate that ends later. The PDCCH reception includes the two PDCCH candidates also when the UE is not required to monitor one of the two PDCCH candidates as described in clauses 10 (except clause 10.4), 11.1, 11.1.1 and 17.2.

For a PRACH transmission triggered by higher layers, if *ssb-ResourceList* is provided, the PRACH mask index is indicated by *ra-ssb-OccasionMaskIndex* which indicates the PRACH occasions for the PRACH transmission where the PRACH occasions are associated with the selected SS/PBCH block index.

The PRACH occasions are mapped consecutively per corresponding SS/PBCH block index. The indexing of the PRACH occasion indicated by the mask index value is reset per mapping cycle of consecutive PRACH occasions per SS/PBCH block index. The UE selects for a PRACH transmission the PRACH occasion indicated by PRACH mask index value for the indicated SS/PBCH block index in the first available mapping cycle.

For the indicated preamble index, the ordering of the PRACH occasions is

- First, in increasing order of frequency resource indexes for frequency multiplexed PRACH occasions

- Second, in increasing order of time resource indexes for time multiplexed PRACH occasions within a PRACH slot

- Third, in increasing order of indexes for PRACH slots

For a PRACH transmission triggered upon request by higher layers, a value of *ra-OccasionList* [12, TS 38.331], if *csirs-ResourceList* is provided, indicates a list of PRACH occasions for the PRACH transmission where the PRACH occasions are associated with the selected CSI-RS index indicated by *csi-RS*. The indexing of the PRACH occasions indicated by *ra-OccasionList* is reset per association pattern period.

Table 8.1-1: Mapping between PRACH configuration period and SS/PBCH block to PRACH occasion association period

|  |  |
| --- | --- |
| PRACH configuration period (msec) | Association period (number of PRACH configuration periods) |
| 10 | {1, 2, 4, 8, 16} |
| 20 | {1, 2, 4, 8} |
| 40 | {1, 2, 4} |
| 80 | {1, 2} |
| 160 | {1} |

For paired spectrum or supplementary uplink band all PRACH occasions are valid.

For unpaired spectrum,

- if a UE is not provided *tdd-UL-DL-ConfigurationCommon*, a PRACH occasion in a PRACH slot is valid if it does not precede a SS/PBCH block in the PRACH slot and starts at least symbols after a last SS/PBCH block reception symbol, where is provided in Table 8.1-2 and, if *channelAccessMode* = "*semiStatic*" is provided, does not overlap with a set of consecutive symbols before the start of a next channel occupancy time where the UE does not transmit [15, TS 37.213].

- the candidate SS/PBCH block index of the SS/PBCH block corresponds to the SS/PBCH block index provided by *ssb-PositionsInBurst* in *SIB1* or in *ServingCellConfigCommon*, as described in clause 4.1

- If a UE is provided *tdd-UL-DL-ConfigurationCommon*, a PRACH occasion in a PRACH slot is valid if

- it is within UL symbols, or

- it does not precede a SS/PBCH block in the PRACH slot and starts at least symbols after a last downlink symbol and at least symbols after a last SS/PBCH block symbol, where is provided in Table 8.1-2, and if *channelAccessMode* = "*semiStatic*" is provided, does not overlap with a set of consecutive symbols before the start of a next channel occupancy time where there shall not be any transmissions, as described in [15, TS 37.213]

- the candidate SS/PBCH block index of the SS/PBCH block corresponds to the SS/PBCH block index provided by *ssb-PositionsInBurst* in *SIB1* or in *ServingCellConfigCommon*, as described in clause 4.1.

For preamble format B4 [4, TS 38.211], .

Table 8.1-2: values for different preamble SCS

|  |  |
| --- | --- |
| Preamble SCS |  |
| 1.25 kHz or 5 kHz | 0 |
| 15 kHz or 30 kHz or 60 kHz or 120 kHz | 2 |
| 480 kHz | 8 |
| 960 kHz | 16 |

If a random access procedure is initiated by a PDCCH order, the UE, if requested by higher layers, transmits a PRACH in the selected PRACH occasion, as described in [11, TS 38.321], for which a time between the last symbol of the PDCCH order reception and the first symbol of the PRACH transmission is larger than or equal to msec, where

- is a time duration of symbols corresponding to a PUSCH preparation time for UE processing capability 1 [6, TS 38.214] assuming corresponds to the smallest SCS configuration between the SCS configuration of the PDCCH order and the SCS configuration of the corresponding PRACH transmission

- if the active UL BWP does not change and is defined in [10, TS 38.133] otherwise

- msec for FR1 and msec for FR2

- is a switching gap duration as defined in [6, TS 38.214]

For a PRACH transmission using 1.25 kHz or 5 kHz SCS, the UE determines assuming SCS configuration .

For single cell operation or for operation with contiguous carrier aggregation in a same frequency band or for operation with non-contiguous carrier aggregation in a same frequency band if the UE is not provided with *intraBandNC-PRACH-simulTx-r17*, a UE does not transmit PRACH and PUSCH/PUCCH/SRS in a same slot with respect to the smallest SCS configuration between the SCS configuration for the UL BWP with the PRACH and the SCS configuration for the UL BWP with the PUSCH/PUCCH/SRS transmissions or when a gap between the first or last symbol of a PRACH transmission in a first slot is separated by less than symbols from the last or first symbol, respectively, of a PUSCH/PUCCH/SRS transmission in a second slot where for or 1, for or , for , for , and is the smallest SCS configuration between the SCS configuration for the UL BWP with the PRACH and the SCS configuration for the UL BWP with the PUSCH/PUCCH/SRS transmissions. For a PUSCH transmission with repetition Type B, this applies to each actual repetition for PUSCH transmission [6, TS 38.214].

\*\*\* Unchanged parts are omitted \*\*\*

# 21 L1/L2-triggered mobility procedures

A UE can be indicated, by *LTM-Config*, cells and SS/PBCH blocks per cell for the UE to obtain synchronization and measure corresponding L1-RSRPs [10, TS 38.133]. A MAC CE command can activate TCI states associated with SS/PBCH blocks of corresponding cells. The UE is provided configurations by *LTM-CSI-ReportConfigToAddModList* for reporting L1-RSRP measurements [6, TS 38.214] that include a number of cells and a number of SS/PBCH blocks per cell from the number of cells.

A UE can indicate a capability *XYZ* to determine a timing advance for a cell based on its implementation. If the UE indicates the capability *XYZ*, the UE can be indicated by *ueMeasuredTA* to determine the timing advance.

A UE can be provided configurations for PRACH transmission parameters by *EarlyUlSyncConfig* for cells. The UE can be triggered a PRACH transmission on a cell by a PDCCH order that the UE receives on a serving cell and includes an indication of the cell for the PRACH transmission [4, TS 38.212]. If the serving cell and the candidate cell operate in a same frequency range and the UE would have simultaneous transmissions on the serving cell and the candidate cell, the UE

- drops the transmissions on the serving cell when the UE does not support simultaneous transmissions on the serving cell and the candidate cell

- prioritizes power allocation to the PRACH transmission on the candidate cell when the UE supports simultaneous transmissions on the serving cell and the candidate cell, and a total UE transmit power in the frequency range would exceed

The UE transmits the PRACH on the cell as described in Clause 8.1 with a power determined as described in Clause 7.4.

A UE can be provided by a MAC CE in a PDSCH reception on the serving cell [11, TS 38.321] a *TCI-State* in *dl-OrJointTCI-StateList* and/or *TCI-UL-State* indicating a unified TCI state [6, TS 38.214] for applicable receptions or transmissions on a cell from the number of cells. The UE applies the *TCI-State* and/or *TCI-UL-State,* if indicated by the MAC CE, from a first slot that is after the last symbol of a PUCCH or PUSCH with HARQ-ACK information for the PDSCH providing the MAC CE, and is the SCS configuration for the TBD*.*