#### **3GPP TSG-RAN WG3 Meeting # 123R3-240873**

**Athens, Greece, 26th February - 1st March 2024**

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| *CR-Form-v12.2* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.300** | **CR** | **-** | **rev** | **1** | **Current version:** | **18.0.0** |  |
|  | | | | | | | | |
| *For* ***[HE](http://www.3gpp.org/3G_Specs/CRs.htm" \l "_blank)******[LP](http://www.3gpp.org/3G_Specs/CRs.htm" \l "_blank)*** *on using this form: comprehensive instructions can be found at  <http://www.3gpp.org/Change-Requests>.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Stage 2 correction for NR-U | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Ericsson, Qualcomm Incorporated, Deutsche Telekom, Samsung, ZTE | | | | | | | | | |
| ***Source to TSG:*** | RAN3 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_ENDC\_SON\_MDT\_enh2-Core | | | | |  | ***Date:*** | | | 2024-02-27 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***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)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | For the case of DL LBT failure, the specification does not indicate how the target gNB may send this information to the source gNB.  At the last RAN3 meeting, a procedure to fetch the LBT information for the purpose of NR-U MRO. The description introduced the “LBT” term, which has not beed added to the list of abbreviations. | | | | | | | | |
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| ***Summary of change:*** | | Clarify how a target gNB reports DL LBT failures to a source gNB.  The missing abbreviation is explained. | | | | | | | | |
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| ***Consequences if not approved:*** | | The specification is not clear on how to report DL LBT failures from target gNB to source gNB. The abbreviation remains unexplained. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 3.1, 15.5.2.2.2 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | Rev.1 Revised according to meeting discussion. | | | | | | | | |

------------------------------------------ START OF CHANGES ------------------------------------------

## 3.1 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1], in TS 36.300 [2] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1] and TS 36.300 [2].

5GC 5G Core Network

5GS 5G System

5QI 5G QoS Identifier

A2X Aircraft-to-Everything

A-CSI Aperiodic CSI

AGC Automatic Gain Control

AI Artificial Intelligence

AKA Authentication and Key Agreement

AMBR Aggregate Maximum Bit Rate

AMC Adaptive Modulation and Coding

AMF Access and Mobility Management Function

AR Augmented Reality

ARP Allocation and Retention Priority

ATG Air to Ground

BA Bandwidth Adaptation

BCCH Broadcast Control Channel

BCH Broadcast Channel

BFD Beam Failure Detection

BH Backhaul

BL Bandwidth reduced Low complexity

BPSK Binary Phase Shift Keying

BRID Broadcast Remote Identification

C-RNTI Cell RNTI

CAG Closed Access Group

CAPC Channel Access Priority Class

CBRA Contention Based Random Access

CCE Control Channel Element

CD-SSB Cell Defining SSB

CFR Common Frequency Resource

CFRA Contention Free Random Access

CG Configured Grant

CHO Conditional Handover

CIoT Cellular Internet of Things

CLI Cross Link interference

CMAS Commercial Mobile Alert Service

CORESET Control Resource Set

CP Cyclic Prefix

CPA Conditional PSCell Addition

CPC Conditional PSCell Change

DAA Detect And Avoid

DAG Directed Acyclic Graph

DAPS Dual Active Protocol Stack

DFT Discrete Fourier Transform

DCI Downlink Control Information

DCP DCI with CRC scrambled by PS-RNTI

DCR Direct Communication Request

DL-AoD Downlink Angle-of-Departure

DL-SCH Downlink Shared Channel

DL-TDOA Downlink Time Difference Of Arrival

DMRS Demodulation Reference Signal

DRX Discontinuous Reception

DSR Delay Status Report

DTX Discontinuous Transmission

E-CID Enhanced Cell-ID (positioning method)

EC Energy Cost

EHC Ethernet Header Compression

ePWS enhancements of Public Warning System

ETWS Earthquake and Tsunami Warning System

FS Feature Set

FSA ID Frequency Selection Area Identity

G-CS-RNTI Group Configured Scheduling RNTI

G-RNTI Group RNTI

GFBR Guaranteed Flow Bit Rate

GIN Group ID for Network selection

GNSS Global Navigation Satellite System

GSO Geosynchronous Orbit

H-SFN Hyper System Frame Number

HAPS High Altitude Platform Station

HRNN Human-Readable Network Name

IAB Integrated Access and Backhaul

IFRI Intra Frequency Reselection Indication

I-RNTI Inactive RNTI

INT-RNTI Interruption RNTI

KPAS Korean Public Alarm System

L2 Layer-2

L3 Layer-3

LBT Listen Before Talk

LDPC Low Density Parity Check

LEO Low Earth Orbit

LTM L1/L2 Triggered Mobility

MBS Multicast/Broadcast Services

MCE Measurement Collection Entity

MCCH MBS Control Channel

MDBV Maximum Data Burst Volume

MEO Medium Earth Orbit

MIB Master Information Block

MICO Mobile Initiated Connection Only

MFBR Maximum Flow Bit Rate

ML Machine Learning

MMTEL Multimedia telephony

MNO Mobile Network Operator

MO-SDT Mobile Originated SDT

MP Multi-Path

MPE Maximum Permissible Exposure

MRB MBS Radio Bearer

MT Mobile Termination

MT-SDT Mobile Terminated SDT

MTCH MBS Traffic Channel

MTSI Multimedia Telephony Service for IMS

MU-MIMO Multi User MIMO

Multi-RTT Multi-Round Trip Time

MUSIM Multi-Universal Subscriber Identity Module

N3C Non-3GPP Connection

NB-IoT Narrow Band Internet of Things

NCD-SSB Non Cell Defining SSB

NCGI NR Cell Global Identifier

NCL Neighbour Cell List

NCR Neighbour Cell Relation

NCRT Neighbour Cell Relation Table

NGAP NG Application Protocol

NGSO Non-Geosynchronous Orbit

NID Network Identifier

NPN Non-Public Network

NR NR Radio Access

NSAG Network Slice AS Group

NTN Non-Terrestrial Network

P-MPR Power Management Maximum Power Reduction

P-RNTI Paging RNTI

PCH Paging Channel

PCI Physical Cell Identifier

PDB Packet Delay Budget

PDC Propagation Delay Compensation

PDCCH Physical Downlink Control Channel

PDSCH Physical Downlink Shared Channel

PEI Paging Early Indication

PER Packet Error Rate

PH Paging Hyperframe

PLMN Public Land Mobile Network

PNI-NPN Public Network Integrated NPN

PO Paging Occasion

PQI PC5 5QI

PRACH Physical Random Access Channel

PRB Physical Resource Block

PRG Precoding Resource block Group

PRS Positioning Reference Signal

PS-RNTI Power Saving RNTI

PSDB PDU Set Delay Budget

PSER PDU Set Error Rate

PSI PDU Set Importance

PSIHI PDU Set Integrated Handling Information

PSS Primary Synchronisation Signal

PTM Point to Multipoint

PTP Point to Point

PTW Paging Time Window

PUCCH Physical Uplink Control Channel

PUSCH Physical Uplink Shared Channel

PWS Public Warning System

QAM Quadrature Amplitude Modulation

QFI QoS Flow ID

QMC QoE Measurement Collection

QoE Quality of Experience

QPSK Quadrature Phase Shift Keying

RA Random Access

RA-RNTI Random Access RNTI

RACH Random Access Channel

RANAC RAN-based Notification Area Code

REG Resource Element Group

RIM Remote Interference Management

RLM Radio Link Monitoring

RMSI Remaining Minimum SI

RNA RAN-based Notification Area

RNAU RAN-based Notification Area Update

RNTI Radio Network Temporary Identifier

RQA Reflective QoS Attribute

RQoS Reflective Quality of Service

RS Reference Signal

RSRP Reference Signal Received Power

RSRQ Reference Signal Received Quality

RSSI Received Signal Strength Indicator

RSTD Reference Signal Time Difference

RTT Round Trip Time

RVQoE RAN visible QoE

SCS SubCarrier Spacing

SD Slice Differentiator

SDAP Service Data Adaptation Protocol

SDT Small Data Transmission

SD-RSRP Sidelink Discovery RSRP

SFI-RNTI Slot Format Indication RNTI

SHR Successful Handover Report

SIB System Information Block

SI-RNTI System Information RNTI

SLA Service Level Agreement

SL-PRS Sidelink Positioning Reference Signal

SL-RSRP Sidelink RSRP

SMC Security Mode Command

SMF Session Management Function

SMTC SS/PBCH block Measurement Timing Configuration

S-NSSAI Single Network Slice Selection Assistance Information

SNPN Stand-alone Non-Public Network

SNPN ID Stand-alone Non-Public Network Identity

SPR Successful PSCell Addition/Change Report

SPS Semi-Persistent Scheduling

SR Scheduling Request

SRAP Sidelink Relay Adaptation Protocol

SRS Sounding Reference Signal

SRVCC Single Radio Voice Call Continuity

SS Synchronization Signal

SSB SS/PBCH block

SSS Secondary Synchronisation Signal

SSSG Search Space Set Group

SST Slice/Service Type

SU-MIMO Single User MIMO

SUL Supplementary Uplink

TA Timing Advance

TB Transport Block

TCE Trace Collection Entity

TNL Transport Network Layer

TPC Transmit Power Control

TRP Transmit/Receive Point

TRS Tracking Reference Signal

U2N UE-to-Network

U2U UE-to-UE

UAV Uncrewed Aerial Vehicle

UCI Uplink Control Information

UDC Uplink Data Compression

UDM Unified Data Management

UE-Slice-MBR UE Slice Maximum Bit Rate

UL-AoA Uplink Angles of Arrival

UL-RTOA Uplink Relative Time of Arrival

UL-SCH Uplink Shared Channel

UPF User Plane Function

URLLC Ultra-Reliable and Low Latency Communications

VR Virtual Reality

V2X Vehicle-to-Everything

Xn-C Xn-Control plane

Xn-U Xn-User plane

XnAP Xn Application Protocol

XR eXtended Reality

------------------------------------------ NEXT CHANGE ------------------------------------------

##### 15.5.2.2.2 Connection failure due to intra-system mobility

One of the functions of Mobility Robustness Optimization is to detect connection failures that occur due to Too Early or Too Late Handovers, or Handover to Wrong Cell. These problems are defined as follows:

- Intra-system Too Late Handover: an RLF occurs after the UE has stayed for a long period of time in the cell; the UE attempts to re-establish the radio link connection in a different cell.

- Intra-system Too Early Handover: an RLF occurs shortly after a successful handover from a source cell to a target cell or a handover failure occurs during the handover procedure; the UE attempts to re-establish the radio link connection in the source cell.

- Intra-system Handover to Wrong Cell: an RLF occurs shortly after a successful handover from a source cell to a target cell or a handover failure occurs during the handover procedure; the UE attempts to re-establish the radio link connection in a cell other than the source cell and the target cell.

In the definition above, the "successful handover" refers to the UE state, namely the successful completion of the RA procedure.

In case of CHO, the Too Late Handover, Too Early Handover and Handover to Wrong Cell in the definition above means Too Late CHO Execution, Too Early CHO Execution and CHO Execution to Wrong Cell.

**Detection mechanism**

A failure indication may be initiated after a UE attempts to re-establish the radio link connection at NG-RAN node B after a failure at NG-RAN node A. NG-RAN node B may initiate the Failure Indication procedure towards multiple NG-RAN nodes if they control cells which use the PCI signalled by the UE during the re-establishment procedure. The NG-RAN node receiving this selects the UE context that matches the received Failure Cell ID and C-RNTI, and, if available, uses the shortMAC-I to confirm this identification, by calculating the shortMAC-I and comparing it to the received IE.

A failure indication may also be sent to the node last serving the UE when the NG-RAN node fetches the RLF REPORT from UE by triggering:

- The Failure Indication procedure over Xn;

- The Uplink RAN configuration transfer procedure and Downlink RAN configuration transfer procedure over NG.

The detailed detection mechanisms for too late handover, too early handover and handover to wrong cell are carried out through the following in the NG-RAN node that served the UE before the reported connection failure:

- Intra-system Too Late Handover: there is no recent handover for the UE prior to the connection failure e.g. the UE reported timer is absent or larger than the configured threshold (e.g. Tstore\_UE\_cntxt), or if CHO is configured but the CHO execution is not initiated for the UE prior to the connection failure, e.g. the UE reported timer is absent or larger than the configured threshold (e.g. Tstore\_UE\_cntxt).

- Intra-system Too Early Handover: there is a recent handover for the UE prior to the connection failure e.g. the UE reported timer is smaller than the configured threshold (e.g. Tstore\_UE\_cntxt), and the first re-establishment attempt cell/the successful re-connect cell is the cell that served the UE at the last handover initialisation or fall back to the source cell configuration in case of DAPS HO.

- Intra-system Handover to Wrong Cell: there is a recent handover for the UE prior to the connection failure e.g. the UE reported timer is smaller than the configured threshold (e.g. Tstore\_UE\_cntxt), and the first re-establishment attempt cell/ the cell UE attempts to re-connect/the cell UE attempts CHO recovery is neither the cell that served the UE at the last handover initialisation nor the cell that served the UE where the RLF happened or the cell that the handover was initialized toward.

The "UE reported timer" above indicates the time elapsed since the last handover initialisation until connection failure or the time elapsed since the CHO execution until connection failure.

In case of Too Early Handover or Handover to Wrong Cell, the NG-RAN node receiving the failure indication may inform the NG-RAN node controlling the cell where the mobility configuration caused the failure by means of the Handover Report procedure over Xn or the Uplink RAN Configuration Transfer procedure over NG. This may include the RLF report.

For MRO analysis, a gNB may take into account the information regarding the LBT failures occurred in UL and DL during the handover execution for a specific UE. For UL, the information is detected and provided by the UE in the RLF report. For DL, the target gNB may provide the information to the source gNB by means of the Access and Mobility Indication procedure over Xn, if requested by the source gNB during the handover preparation.

------------------------------------------ END OF CHANGES ------------------------------------------