3GPP TSG-RAN WG4 Meeting #95 R4-200xxxx

E-meeting, 25 May – 5 June, 2020

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
|  |
|  | **38.133** | **CR** | **0738** | **rev** | **01** | **Current version:** | **16.3.0** |  |
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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:***  | Applicability of QCL |
|  |  |
| ***Source to WG:*** | Qualcomm |
| ***Source to TSG:*** | R4 |
|  |  |
| ***Work item code:*** | NR\_newRAT-Core |  | ***Date:*** |  2020-04-09  |
|  |  |  |  |  |
| ***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 canbe 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:*** | RAN4 has already introduced “Applicability of QCL” section in release 15 version of 38.133. This should also be introduced to release 16 version of 38.133 to keep specs consistent across different versions. Besides, all companies agree with this concept and this is already a RAN4 agreement.  |
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| ***Summary of change:*** | Copy “Applicability of QCL” section from Release 15 version of 38.133 (reference: R4-2005271) and introduce it in this spec. |
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| ***Consequences if not approved:*** | If two reference signals are apart from each other by a number of hops in a QCL chain, it will not be clear if they will be considered QCLed for the requirements of this specification.  |
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| ***Clauses affected:*** | 3.6 |
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|  | **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>

## 3.6 Applicability of requirements in this specification version

In this specification,

- ‘cell’, ‘PCell’, ‘PSCell’ and ‘SCell’ refer to NR cell, NR PCell, NR PSCell, and NR SCell,

- E-UTRA cells are referred to as ‘E-UTRA cell’, ‘E-UTRA PCell’, ‘E-UTRA PSCell’, and ‘E-UTRA SCell’,

- E-UTRA-NR dual connectivity where E-UTRA is the master is referred to as ‘E-UTRA-NR dual connectivity’ or ‘EN-DC’.

- NR-NR dual connectivity which involves two gNB acting as Master gNB and Secondary gNB is referred to as “NR-NR dual connectivity” or “NR-DC”. NR-DC in Rel-15 only includes the scenarios where all serving cells in MCG in FR1 and all serving cells in SCG in FR2.

- ‘active serving cell’ refers to PCell, PSCell and activated SCells

For UE configured with supplementary UL, the requirements in clause 7.1 and 7.3 shall also apply to uplink transmissions on supplementary UL.

### 3.6.1 RRC connected state requirements in DRX

For the requirements in RRC connected state specified in this version of the specification, the UE shall assume that no DRX is used provided the following conditions are met:

- DRX parameters are not configured or

- DRX parameters are configured and

- *drx-InactivityTimer* is running or

- *drx-RetransmissionTimerDL* is running or

- *drx-RetransmissionTimerUL* is running or

- *ra-ContentionResolutionTimer* is running or

- a Scheduling Request sent on PUCCH is pending or

- a PDCCH indicating a new transmission addressed to the C-RNTI of the MAC entity has not been received after successful reception of a Random Access Response for the preamble not selected by the MAC entity

Otherwise the UE shall assume that DRX is used.

### 3.6.2 Number of serving carriers

#### 3.6.2.1 Number of serving carriers for SA

Requirements for standalone NR with NR PCell are applicable for the UE configured with the following number of serving NR CCs:

- up to 8 NR DL CCs in total, with 1 UL (or 2 UL if SUL is configured) in PCell and up to 1 UL (or 2 UL if SUL is configured) in SCell.

- SUL may be configured together with one of the UL

#### 3.6.2.2 Number of serving carriers for EN-DC

Requirements for EN-DC operation of E-UTRA and NR with E-UTRA PCell and NR PSCell are applicable for the UE configured with the following number of serving NR CCs:

- up to 7 NR DL CCs in total, with 1 UL (or 2 UL if SUL is configured) in PSCell and up to 1 UL (or 2 UL if SUL is configured) in SCell in different FR with PSCell.

- SUL may be configured together with one of the UL

The applicable number of E-UTRA CC for EN-DC in the MCG for both UL and DL is specified in TS 36.133 [15].

#### 3.6.2.3 Number of serving carriers for NE-DC

Requirements for NE-DC operation of NR and E-UTRA with NR PCell and E-UTRA PSCell are applicable for the UE configured with the following number of serving NR CCs:

- up to 7 NR DL CCs in total, with 1 UL (or 2 UL if SUL is configured) in PCell and up to 1 UL (or 2 UL if SUL is configured) in SCell.

- SUL may be configured together with one of the UL

The applicable number of E-UTRA CC for NE-DC in the SCG for both UL and DL is specified in TS 36.133 [15].

#### 3.6.2.4 Number of serving carriers for NR-DC

Requirements for NR-DC are applicable for the UE configured with the following number of serving NR CCs:

- up to 2 NR DL CCs in total in FR1, up to 8 NR DL CCs in total in FR2, with 1 in PCell, 1 UL in PSCell, and up to 1 UL in each SCell.

### 3.6.3 Applicability for intra-band FR2

For the requirements in RRC connected state specified in this version of the specification, UE shall assume that the transmitted signals from the serving cells should have the same downlink spatial domain transmission filter on one OFDM symbol in the same band in FR2. Otherwise, the UE is not supposed to satisfy any requirements for SCell.

### 3.6.4 Applicability for FR2 UE power classes

For the requirements of each FR2 power class specified in this version of the specification, certain UE types with specific device architectures are assumed. The UE types can be found in TS 38.101-2 [19].

### 3.6.5 Applicability for SDL bands

The measurements accuracy requirements for SDL bands in this version of specification in clause 10.1 shall apply for NR intra-frequency measurements on SCC (SS-RSRP, SS-RSRQ, SS-SINR, and L1-RSRP) and inter-frequency measurements (SS-RSRP, SS-RSRQ, and SS-SINR).

### 3.6.6 Applicability of requirements for NGEN-DC operation

All the requirements in this specification applicable for EN-DC are also applicable for NGEN-DC.

### 3.6.7 Applicability of QCL

For the requirements specified in this version of the specification, a reference signal is considered to be QCLed to another reference signal if it is in the same TCI chain as the other reference signal, provided that the number of Reference Signals in the chain is no more than 4. It is assumed there is single QCL type per TCI chain.

A TCI chain consists of an SSB, and one or more CSI-RS resources, and the TCI state of each Reference Signal includes another Reference Signal in the same TCI chain.

DMRS of PDCCH or PDSCH is QCLed with the reference signal in its active TCI state and any other reference signal that is QCLed, based on above criteria, with the reference signal in the active TCI state.

# 4 SA: RRC\_IDLE state mobility

Editor’s note: intended to capture the RRM requirements for RRC\_IDLE state in stand-alone operation.

### <End of Change>