**3GPP TSG-RAN4 Meeting #95-e *R4-2008560***

**Online, , 25th May 2020 - 5th Jun 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.133** | **CR** | **0718** | **rev** | **1** | **Current version:** | **16.3.0** |  |
|  | | | | | | | | |
| *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 |  | Core Network |  |

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| ***Title:*** | CR to TS 38.133: adding NR-U Handover. | | | | | | | | | |
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| ***Source to WG:*** | Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** |  | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_unlic-Core | | | | |  | ***Date:*** | | | 2020-05-15 |
|  |  | | | |  | |  | | |  |
| ***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-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:*** | | Introduction of handover requirements to NR-U. | | | | | | | | |
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| ***Summary of change:*** | | The CR introduces a new clause, 6.1A, to capture agreements made at previous meetings. Draft CR R4-2005364 was endorsed last RAN4 meeting | | | | | | | | |
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| ***Consequences if not approved:*** | | The specification is incomplete. | | | | | | | | |
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| ***Clauses affected:*** | | 6.1.1.2, 6.1.2.1 and 6.1A | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | | ***Endorsed draft CR: R4-2005364***  R4-2007260 | | | | | | | | |

<Start of Change 1>

#### 6.1.1.2 NR FR1 - NR FR1 Handover

The requirements in this clause are applicable to both intra-frequency and inter-frequency handovers from NR FR1 cell to NR FR1 cell, and to inter-frequency handover from NR FR1 cell in a carrier frequency with CCA to NR FR1 cell.

<End of Change 1>

<Start of Change 2>

### 6.1.2 NR Handover to other RATs

#### 6.1.2.1 NR – E-UTRAN Handover

##### 6.1.2.1.1 Introduction

The purpose of inter-RAT handover from NR to E-UTRAN is to change the radio access mode of PCell from NR to E-UTRAN. The handover procedure is initiated from NR with a RRC message that implies a handover as described in TS 38.331 [2]. The requirements in this clause are applicable to SA NR, NE-DC and NR-DC, and to handover from SA NR cell in a carrier frequency with CCA to E-UTRAN.

<End of Change 2>

<Start of Change 3>

## 6.1A Handover to target cell using CCA

### 6.1A.1 NR Handover

#### 6.1A.1.1 Introduction

The purpose of NR handover to target cell using CCA is to change the NR PCell to a target NR cell in a carrier frequency with CCA. The requirements in this clause are applicable to NR SA.

#### 6.1A.1.2 NR FR1 - NR FR1 Handover

The requirements in this clause are applicable to inter-frequency handovers from NR FR1 cell to NR FR1 cell in carrier frequencies with CCA, and to both intra-frequency and inter-frequency handovers from NR FR1 cell in carrier frequencies with CCA to NR FR1 cell in carrier frequencies with CCA.

##### 6.1A.1.2.1 Handover delay

When the UE receives an RRC message implying handover the UE shall be ready to start the transmission of the new uplink PRACH channel within Dhandover ms from the end of the last TTI containing the RRC command.

Where:

Dhandover equals the applicable RRC procedure delay to be defined in clause12 in TS 38.331 [2] plus the interruption time stated in clause 6.1A.1.2.2.

##### 6.1A.1.2.2 Interruption time

The interruption time is the time between end of the last TTI containing the RRC command on the old PDSCH and the time the UE starts transmission of the new PRACH, excluding the RRC procedure delay.

When intra-frequency or inter-frequency handover is commanded, the interruption time shall be less than Tinterrupt

Tinterrupt = Tsearch + TIU + Tprocessing + T∆ + Tmargin ms

Where:

Tsearch is the time required to search the target cell when the target cell is not already known when the handover command is received by the UE. If the target cell is known, then Tsearch = 0 ms. If the target cell is an unknown intra-frequency cell and the target cell Es/Iot≥-2 dB, then Tsearch = (1+L1) \*Trs. If the target cell is an unknown inter-frequency cell and the target cell Es/Iot≥-2 dB, then Tsearch = (3+L1´) \*Trs where L1 and L1´ are the number of SMTC occasions not available at the UE during the intra-frequency and inter-frequency detection period, respectively. Regardless of whether DRX is in use by the UE, Tsearch shall still be based on non-DRX target cell search times.

*Editor’s note: FFS for the definition of “SMTC occasions not available at the UE”.*

T∆ is time for fine time tracking and acquiring full timing information of the target cell. T∆ = (1+ L2) \*Trs ms, where L2 is the number of SMTC occasions not available at the UE during the time tracking period.

Tprocessing is time for UE processing. Tprocessing can be up to 20ms.

Tmargin is time for SSB post-processing. Tmargin can be up to 2ms.

TIU is the interruption uncertainty due to the random access procedure when sending PRACH to the new cell. TIU can be up to: TSSB,RO + L3 \* TRO + 10 ms where TSSB,RO is the SSB to PRACH occasion association period and L3 is the number of consecutive PRACH occasions that are unavailable for PRACH transmission due to UL CCA failure, and TRO is the time period to next PRACH occasion. SSB to PRACH occasion associated period is defined in the table 8.1-1 of TS 38.213 [39]. L3 = 0 for Type 2C UL channel access procedure as defined in TS 37.213. When the UE is configured with both the UL BWP with PRACH occasion on the target cell and UL LBT failure detection/recovery, the interruption can be longer.

Trs is the SMTC periodicity of the target NR cell in a carrier frequency with CCA if the UE has been provided with an SMTC configuration for the target cell in the handover command, otherwise Trs is the SMTC configured in the measObjectNR having the same SSB frequency and subcarrier spacing. If the UE is not provided SMTC configuration or measurement object on this frequency, the requirement in this clause is applied with Trs=5ms assuming the SSB transmission periodicity is 5ms. There is no requirement if the SSB transmission periodicity is not 5ms.

NOTE 1: The interruption time considering the potential extensions caused by L1,L1´,L2 , L3 and by the UL LBT failure detection/recovery mechanism is limited by the T304 timer. The UE behaviour at the T304 timer expiry is detailed in TS 38.331 [2].

In the interruption requirement a cell is known if it has been meeting the relevant cell identification requirement during the last 5 seconds otherwise it is unknown. Relevant cell identification requirements are described in Clause 9.2A.5 for intra-frequency handover and Clause 9.3A.4 for inter-frequency handover to a carrier frequency with CCA.

<End of Change 3>