**3GPP TSG-RAN WG4 Meeting # 99 R4-210XXXX**

**Electronic Meeting, 17th – 27th May, 2021**

**Agenda item:** 9.18.2

**Source:** Moderator (Samsung)

**Title:** Email discussion summary for [99][235] feMIMO RRM

**Document for:** Information

# Introduction

In RAN4 99bis meeting, an LS from RAN1 (R4-2104455) on TCI state update for L1/L2 centric inter-cell mobility was received. Based on the discussion in previous RAN4 meeting, WF R4-2105838 was agreed. In RAN4 99 meeting, an LS from RAN1 R4-2107614 on timing assumption for inter-cell DL measurement was also received. This e-mail thread summary the RAN4 discussion on the response of these two LS with potential conclusions.

Furthermore, in the latest approved WID for Rel-17 FeMIMO RP-202024, the below objectives have been included, i.e.,

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| The work item aims to specify the further enhancements identified for NR MIMO. The detailed objectives are as follows:   * Extend specification support in the following areas [RAN1]  1. Enhancement on multi-beam operation, mainly targeting FR2 while also applicable to FR1:    1. Identify and specify features to facilitate more efficient (lower latency and overhead) DL/UL beam management to support higher intra- and L1/L2-centric inter-cell mobility and/or a larger number of configured TCI states:       1. Common beam for data and control transmission/reception for DL and UL, especially for intra-band CA       2. Unified TCI framework for DL and UL beam indication       3. Enhancement on signaling mechanisms for the above features to improve latency and efficiency with more usage of dynamic control signaling (as opposed to RRC)    2. Identify and specify features to facilitate UL beam selection for UEs equipped with multiple panels, considering UL coverage loss mitigation due to MPE, based on UL beam indication with the unified TCI framework for UL fast panel selection 2. Enhancement on the support for multi-TRP deployment, targeting both FR1 and FR2:    1. Identify and specify features to improve reliability and robustness for channels other than PDSCH (that is, PDCCH, PUSCH, and PUCCH) using multi-TRP and/or multi-panel, with Rel.16 reliability features as the baseline    2. Identify and specify QCL/TCI-related enhancements to enable inter-cell multi-TRP operations, assuming multi-DCI based multi-PDSCH reception    3. Evaluate and, if needed, specify beam-management-related enhancements for simultaneous multi-TRP transmission with multi-panel reception    4. Enhancement to support HST-SFN deployment scenario:       1. Identify and specify solution(s) on QCL assumption for DMRS, e.g. multiple QCL assumptions for the same DMRS port(s), targeting DL-only transmission       2. Evaluate and, if the benefit over Rel.16 HST enhancement baseline is demonstrated, specify QCL/QCL-like relation (including applicable type(s) and the associated requirement) between DL and UL signal by reusing the unified TCI framework 3. Enhancement on SRS, targeting both FR1 and FR2:    1. Identify and specify enhancements on aperiodic SRS triggering to facilitate more flexible triggering and/or DCI overhead/usage reduction    2. Specify SRS switching for up to 8 antennas (e.g., xTyR, x = {1, 2, 4} and y = {6, 8})    3. Evaluate and, if needed, specify the following mechanism(s) to enhance SRS capacity and/or coverage: SRS time bundling, increased SRS repetition, partial sounding across frequency 4. Enhancement on CSI measurement and reporting:    1. Evaluate and, if needed, specify CSI reporting for DL multi-TRP and/or multi-panel transmission to enable more dynamic channel/interference hypotheses for NCJT, targeting both FR1 and FR2    2. Evaluate and, if needed, specify Type II port selection codebook enhancement (based on Rel.15/16 Type II port selection) where information related to angle(s) and delay(s) are estimated at the gNB based on SRS by utilizing DL/UL reciprocity of angle and delay, and the remaining DL CSI is reported by the UE, mainly targeting FDD FR1 to achieve better trade-off among UE complexity, performance and reporting overhead  * Investigate if the requirements on link recovery procedure is suitable for FR2 serving cells [RAN4] * Specify higher layer support of enhancements listed above [RAN2] * Specify core requirements associated with the items specified by RAN1 [RAN4] |

Based on the approved WID and latest discussion in RAN1 and RAN2, contributions have been submitted to RAN4 91 agenda 9.18.2 to discuss the RRM impact due to introducation of FeMIMO. Also, rapporteur provide the initial workplan for RAN4 RRM core requirements. In this e-mail thread, discussion on the RRM impact is summarized with potential conclusions. View for workplan is also collected for further information.

# Topic #1: Response LS on L1/L2 centric inter-cell mobility

*Main technical topic overview. The structure can be done based on sub-agenda basis.*

## Companies’ contributions summary

Note: Based on RAN4 chairman guideline, companies provide single contributions with proposals for two incoming LS from RAN1 and overall RRM impact. In the below summary, only proposals related to L1/L2 centric inter-cell mobility are listed and proposals for other topics are summarized in other corresponding topics.

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| **T-doc number** | **Company** | **Proposals / Observations** |
| R4-2109360 | Apple | Proposal #1: Discuss further and agree on the implication of inter-band operation for L1/L2 centric mobility and inter-cell mTRP and clarify with RAN1 to provide an appropriate response.  Proposal #2: [Proposed reply for Q6] In order to support measurements on inter-frequency carrier, a measurement gap might be required to support inter-frequency measurement. In addition, the switching delay might need to be accounted for additional time for active TCI state switch delay in case of inter-frequency cell.  Proposal #3: Clarify with RAN1 the expectation on receiving signals from different cells after the switch (TCI state) to new cell for dedicated channels. |
| R4-2109508 | CMCC | Proposal 1: in the Reply LS, it is proposed to inform RAN1 about following impact on inter-frequency L1 measurement:   * For SSB based inter-frequency measurement, measurement gap may be needed * For SSB based inter-frequency measurement without MG, there may be scheduling restriction * For CSI-RS based inter-frequency measurement, measurement gap is needed |
| R4-2109636 | MediaTek | Proposal 1: RAN4 should wait for RAN1 final definition on inter-cell mobility/mTRP operation.  Proposal 2: No need to introduce the inter-frequency scenario for inter-cell mobility/mTRP operation.  Proposal 3: RRC based TCI state should not be applicable for L1/L2-centric inter-cell mobility/inter-cell mTRP operation.  Proposal 4: Not to introduce the TCI state switching with unknown case for L1/L2-centric inter-cell mobility/inter-cell mTRP operation.  Observation 1: For L1/L2-centric inter-cell mobility, the TCI state list for non-serving cell should be preconfigured to UE via serving cell.  Proposal 5: UE is not required to simultaneously receive the signals from serving cell and non-serving cell with the timing difference larger than [CP].  Proposal 6: For colocation assumption in inter-cell mobility/mTRP operation, FFS together with power imbalance and receive timing difference.  Proposal 7: Both intra-band and inter-band can be supported to UE for signals reception/transmission, i.e., up to network deployment, given that reception/transmission is conducted with the same intra-frequency with UE serving cell. |
| R4-2110018 | Nokia | **Observation 10:** The agreements related to CBM and IBM capable UEs needs to be accounted in the LS reply discussion.  **Observation 11:** For intra-band CA, the operations are currently not feasible unless the cells under consideration are collocated. RAN4 would be required to define UE requirements for intra-band CA for non-collocated scenario.  Proposal 10: For intra-band CA, ask RAN1 about clarification on non-collocation scenario and simultaneous operation of SC and NSC under discussion or whether RAN1 is also considering it.  **Observation 12:** For inter-band CA, the operations are currently feasible for a UE supporting independent beam management for the band combination.  **Observation 13:** For inter-band CA, whether the operations are feasible for a UE supporting common beam management will depend on the outcome of the collocation assumption discussion.  **Observation 14:** For inter-frequency operation, inform RAN1 that only collocated scenario is supported. For non-collocated scenario, RAN4 needs further discussion if L1-RSRP measurement for NSC can be properly supported.  **Proposal 11:** RAN4 firstly considers intra-frequency case study under non-co-located cell scenario. FFS for inter-frequency operation. |
| R4-2110037 | Samsung | Observation 1:  RAN4 discuss on the LS with regard to at least these three aspects from RAN4 perspective:   * Measurement on NSC and reporting of the measurement; and * Operations for indicating a TCI state referring to RSs on the NSC; and * Simultaneous transmission schemes for enabling inter-cell multi-TRP operations.   Observation 2: Three aspects could be discussed in RAN4 as above analyzed.  Proposal 1: RAN4 could ask RAN1 what is RAN1’s understanding on “simultaneously transmission for enabling the Multi-TRP operation” before further discussion related issues in FeMIMO WI.  Proposal 2: In order to reply RAN1 in time and help RAN1 make decision, RAN4 could first discuss on a typical scenario for LS reply purpose only; other scenarios would not be precluded and could be discussed in R17 FeMIMO WI.  Proposal 3: Dedicated scenario, for LS reply purpose, considers FR2 operation and non-collocated cells only.  Proposal 4:  RAN4 reply the LS following the basic principles below:   * To Q5: Analyze intra-band and inter-band CA cases, respectively, from current RAN4 understanding, considering UE capacity of IBM; * To Q6: Mention the impact of L1 measurement and TCI state, including MG, SMTC, reference timing, switching delay, etc.; * Ask RAN1 what is RAN1’s understanding of simultaneous transmission for enabling inter-cell multi-TRP operations (may include multiplexing mode). |
| R4-2110067 | OPPO | Proposal 1: From RAN4’s perspective, timing requirement, UE BM capability and Rx beam sweeping should be considered for operation L1/L2 centric inter-cell mobility for CA scenario.  Proposal 2: To Q5, it is more feasible from UE implementation’s perspective that the operation is supported only for intra-band CA scenario.  Proposal 3: To Q6, only define requirement for the case of intra-frequency without measurement gaps for the intra/inter cell mobility. |
| R4-2110305 | Huawei, HiSilicon | Proposal 9: PDSCH, PDCCH, PUSCH and PUSCH shall be on “serving cells”. UE can’t perform data reception and transmission on “non-serving cell”.  Proposal 10: The “CA scenario” and “operation” in the question needs to be clarified.  Proposal 11: If the question refers to inter-cell multi-TRP operation in CA scenario, only intra-band CA is supported.  Proposal 12: We suggest to only consider intra-frequency L1/L2-Centric Inter-Cell Mobility. |
| R4-2110974 | Ericsson | Observation 1: L1-RSRP is to be used as reporting quantity for measurement for L1/L2-centric inter-cell mobility, and at least SS-RSRP is to be supported.  Observation 2: Existing L1-RSRP requirements assume serving cell measurement only. When adding non-serving measurements, increased capability to measure serving and non-serving cells simultaneously may be needed in order to prevent degraded TCI state handling due to increased measurement period.  Observation 3: There is no significant difference between supporting intra-frequency measurements for L1/L2-centric inter-cell mobility for intra-band CA and inter-band CA scenarios, respectively.  Observation 4: Current inter-frequency measurements are based on that inter-frequency carriers are measured one-by-one. This may lead to significantly longer measurement periods for L1-RSRP measured on inter-frequency carriers than for the same measured on intra-frequency carriers, which may have a negative impact on the TCI state handling. Increased capability e.g. by carrying out L1 and L3 simultaneously, when configured, may be considered in order to reduce the measurement period.  Proposal 1: RAN4 replies to Question 5 as follows. From RAN4 perspective, there is no significant difference between measurements on intra-frequency non-serving cell in intra-band and inter-band CA scenarios.  Proposal 2: RAN4 replies to Question 6 as follows. From RAN4 perspective, the main difference is with respect to measurement period for measurements on intra- and inter-frequency carriers. Regardless of whether gaps are used, inter-frequency measurements are based on that carriers are measured one-by-one. This may result in a significantly longer measurement period for inter-frequency than for intra-frequency measurements and thus may impose challenges for the TCI state handling.  Proposal 3: RAN4 provides further input as follows. RAN4 would further like to add that if increase in measurement effort (e.g. from serving cell measurement only, to serving cell and intra-frequency non-serving cell measurements, or from inter-frequency L3 measurements to inter-frequency L1 and L3 measurements) goes unmatched with increase in UE capacity for such measurements, the measurement periods may have to be extended. Further extending the measurement periods compared to baseline may have a negative impact on the TCI state handling. |
| R4-2111268 | vivo | Proposal 3 For Q5, RAN4 reply to RAN1 with the following   * No significant feasibility impact from RRM requirements perspective on the measurement/reporting mechanism and TCI switching mechanism for inter-band CA on top of that for intra-band CA. * RAN4 would ask RAN1 to clarify how to support simultaneous transmission in inter-cell M-TRP from RAN1 perspective, and what are the specific clarification/reply needed. * RAN4 may further discuss whether to provide the current status of discussion on intra-band CA and inter-band CA in FR2.   Proposal 4 For Q6, RAN4 reply to RAN1 with the following   * For measurement/reporting mechanism, RAN4 identified that the measurement gap is needed for inter-frequency case, while the SMTC and reference timing may also be different from that for intra-frequency case. It is up to RAN1 to decide whether inter-frequency case need to be supported in R17. * For TCI state switching mechanism, RAN4 sees no significant feasibility impact on the inter-frequency case on top of that for intra-frequency case, if the TCI state is known. The impact to RRM requirements may need further discussion. RAN4 may also need further discussion on whether there is feasibility impact for the case TCI state is unknown * RAN4 would ask RAN1 to clarify how to support simultaneous transmission in inter-cell M-TRP from RAN1 perspective, and what are the specific clarification/reply needed. Based on RAN1 feedback, RAN4 may further discuss what are the issues on the feasibility to support simultaneous transmission for inter-frequency inter-cell M-TRP transmission. |

## Open issues summary

Based on the submitted contributions, it is observed that some aspects shall be further clarified. Also, companies provide the response for question 5 and 6 respectively

It is Moderator observation that e-mail discussion can focus on these two aspects, i.e., 1) clarification questions to RAN1 and 2) Response to Question 5 and 6. Therefore, sub-topics are arranged as below

* Sub-topic 1-1 Clarification questions
* Sub-topic 1-2 Response to question 5
* Sub-topic 1-3 Response to question 6

For each sub topic, several options based on submitted contributions are listed. In 1st round discussion, further discussion on each option are expected. Based on the discussion, it is expected, RAN4 can reach consensus on which option(s) can be included in the LS. Based on such consensus if any, 2nd round e-mail discussion can focus on the detailed response LS drafting.

### Sub-topic 1-1: Clarification questions

*Sub-topic description:*

List of options can be included in the clarifications to RAN1.

**What shall be included in the response LS for clarification questions**

* Proposals
  + Option1: Meaning of term “CA” and “operation” (Apple, MediaTek, Huawei)
  + Option 2: Clarification on the co-located and non-co-located assumption for intra-band CA operations. (Nokia)
  + Option 3: Simultaneously transmission for enabling the Multi-TRP operation (Samsung, vivo)
  + Option 4: Definition of “non-serving cell” (Huawei, HiSilicon)
* Recommended WF
  + Collect companies’ view (more than 1 Option can be selected)

### Sub-topic 1-2: response to question 5

*Sub-topic description*

List of options can be included in the response to question 5

**What shall be included in the response to question 5**

* Proposals
  + Option 1: RAN4 agreements related to CBM and IBM capable UEs. Feasibility of supporting intra-band and inter-band CA scenarios for different UE capabilities in current RAN4 specifications (Nokia)
  + Option 2: From UE implementation’s perspective that the operation is supported only for intra-band CA scenario (OPPO, Huawei, HiSilicon)
  + Option 3: No significant feasibility impact for inter-band CA on top of that for intra-band CA (Ericsson, vivo)
* Recommended WF
  + Collect companies’ view (more than 1 Option can be selected)

### Sub-topic 1-3: response to question 6

*Sub-topic description*

List of options can be included in the response to question 6

**What shall be included in the response to question 6**

* Proposals
  + Option 1: Existing SSB/CSI-RS based L3 inter-frequency measurement requirements (CMCC)
  + Option 2: For inter-frequency operation, inform RAN1 that only collocated scenario is supported (Nokia)
  + Option 3: Impact of L1 measurement and TCI state, including MG, SMTC, reference timing, switching delay for inter-frequency measurement (Apple, Samsung，Ericsson, vivo)
  + Option 4: Suggest RAN1 only consider intra-frequency measurement (OPPO, Huawei, HiSilicon)
  + Option 5: For TCI state switching mechanism, RAN4 sees no significant feasibility impact on the inter-frequency case on top of that for intra-frequency case, if the TCI state is known (vivo)
* Recommended WF
  + Collect companies’ view (more than 1 Option can be selected)

## Companies views’ collection for 1st round

### Open issues

**Sub-topic 1-1: Clarification questions**

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| --- | --- |
| **Company** | **Comments** |
| XXX |  |

**Sub-topic 1-2 Response to question 5**

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| **Company** | **Comments** |
| XXX |  |

**Sub-topic 1-3 Response to question 6**

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| **Company** | **Comments** |
| XXX |  |

## Summary for 1st round

### Open issues

*Moderator tries to summarize discussion status for 1st round, list all the identified open issues and tentative agreements or candidate options and suggestion for 2nd round i.e. WF assignment.*

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|  | **Status summary** |
| **Sub-topic #1-1** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |
| **Sub-topic #1-2** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |
| **Sub-topic #1-3** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |

## Discussion on 2nd round (if applicable)

# Topic #2: Response LS on timing assumption for inter-cell DL measurement

*Main technical topic overview. The structure can be done based on sub-agenda basis.*

## Companies’ contributions summary

Note: Based on RAN4 chairman guideline, companies provide single contributions with proposals for two incoming LS from RAN1 and overall RRM impact. In the below summary, only proposals related to timing assumption for inter-cell DL measurement are listed and proposals for other topics are summarized in corresponding topics.

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| **T-doc number** | **Company** | **Proposals / Observations** |
| R4-2108771 | ZTE | Proposal 1: The number of non-serving cell(s) for measurement/reporting should be at least 4.  Proposal 2: Discuss whether or not to introduce a UE capability to indicate the supported number of non-serving cell(s) for measurement/reporting. |
| R4-2109360 | Apple | ***Observation #1:*** *SMTC periodicity could be longer than SSB periodicity of non-serving cell to be measured.*  ***Observation #2:*** *Benefit of limiting L1-RSRP measurements of non-serving cell to SMTC would use the existing framework for L3 neighbor cell measurement.*  ***Observation #3:*** *Allowing for measurements of L1-RSRP of non-serving cell outside SMTC would potentially shorten the measurement time, if measurement is made based on SSB periodicity rather than SMTC.*  **Proposal #4: [Proposed Response to Question 1]**  The SMTC periodicity could be larger than SSB periodicity of non-serving cell to be measured. The benefit of limiting L1-RSRP measurements of non-serving cell to SMTC would use the existing framework for L3 neighbor cell measurement. On the other hand, allowing for measurements of L1-RSRP of non-serving cell outside SMTC would potentially shorten the measurement time, if measurement is made based on SSB periodicity rather than SMTC.  ***Observation #4:*** *In FR1 TDD and FR2 the intra-frequency neighbor cell is assumed to be synchronous and can derive timing from serving cell. For FR1 FDD the intra-frequency cell could be asynchronous and have different receive timing compared to serving cell.*  **Proposal #5: [Proposed Response to Question 2]**  In FR1 TDD and FR2 the intra-frequency neighbor cell is assumed to be synchronous and can derive timing from serving cell. For FR1 FDD the intra-frequency cell could be asynchronous and have different receive timing compared to serving cell. |
| R4-2109636 | MediaTek | Proposal 8: For non-serving cell, the L1-RSRP measurement is depending on frequency range:  In FR1, there is no impact on limiting L1-RSRP measurement within SMTC window.  In FR2, the sharing factor, e.g., Psharing factor defined in TS 38.133, should be considered for non-serving cell.  Proposal 9: For R17 inter-cell mobility/mTRP, UE should receive downlink transmission from multiple TRP within a CP, otherwise UE may not be able to measure and receive the signals simultaneously from multiple TRPs. |
| R4-2110018 | Nokia | **Observation 5:** The RAN1 agreement captured in the LS needs further clarification. Rel-15 SS-RSRP measurements may not be measured equivalently between SC and NSC to support L1/L2 mobility.  **Proposal 8:** Inform RAN1 that SS-RSRP intra-frequency accuracy and SSB-based L1-RSRP accuracy requirements are found differently in TS38.133. It is unclear if SS-RSRP supports *L1/L2-centric inter-cell mobility* properly.  **Observation 6:** the current SMTC window for NSC is used for L3 RSRP measurements and configuration.  **Proposal 9:** RAN4 need to study if the current SMTC window can be properly used for L1-RSRP measurement for NSC and the potential impact from using the SMTC window for L1-RSRP measurements from NSC in addition to L3 measurements.  **Observation 7 :** Not limiting the NCS L1-RSRP to SMTC can have impact on SSB transmission frequency and UE measurement burden. It may, however, reduce the impact on existing L3 measurements and current UE requirements.  **Observation 8 :** There is physical time of arrive difference between SC and NSC, and the time difference needs to be limited for accurate L1-RSRP measurement under non-collocation TRxP scenario. RAN4 may need to work on a timing offset related requirement to maintain L1-RSRP performance. |
| R4-2110305 | Huawei, HiSilicon | Proposal 13: RAN4 need to study the Rx beam assumptions for L1-RSRP measurements on non-serving cell, and the following two options can be considered.   * Option 1: UE is assumed to perform L1-RSRP measurements on non-serving cell with fine beam pattern. * Option 2: UE is assumed to perform L1-RSRP measurements on non-serving cell with rough beam pattern as same as SMTC based RRM measurements   Proposal 14: For Option 1, UE is expected to perform L1-RSRP measurements on non-serving cell outside SMTC windows, and the timing information of SSB resources configured for L1-RSRP measurements on non-serving cell need to be indicated by network.  Proposal 15: For Option 2, UE can perform L1-RSRP measurements on non-serving cell based on the SSB resources within SMTC windows, and the L1-RSRP measurement period on non-serving cell need to be specified based on SMTC periodicity.  Proposal 16: Considering the typical scenarios for inter-cell mobility, the receive timing of the measurement RS from the non-serving cell can be different from the receive timing of the signals from the serving cell, otherwise the applicable scenarios for L1/L2-centric inter-cell mobility will be quite limited. |
| R4-2111269 | vivo | [Response to Q1]  Regarding limiting the measurements on RS of NSC within SMTC or not, RAN4 has identified the following impacts:   * The common understanding from RAN4 is that, for intra-frequency MO or inter-frequency MO configured on the same SMTC, the UE may be able to obtain neighbour cell measurement results for L1-RSRP reporting at the same time when it conducts layer-1 measurements for layer-3 RRM reporting, if RS of NSC is limited within SMTC. Otherwise, UE would always need to perform additional cell identification and L1 measurements on NSC on top of RRM measurements. * For the case that RS of NSC is limited within SMTC,   + there is no need to further define any measurement restrictions, and   + for intra-frequency NSC L1 measurements conducted outside measurement gap, the scheduling restriction defined for layer-3 RRM reporting can be re-used, and   + if the RS periodicity and offset for NSC L1 measurements is the same as the periodicity and offset of the SMTC, then,     - the overlapping factor Kp defined for layer-3 RRM, implying the overlapping occurrence for SMTC and measurement gap, can be re-used, and,     - in case measurement gap is needed due to SMTC fully overlapped with gap, NSC L1 measurements may also need to be conducted within measurement gap, even for the intra-frequency cases. * Conversely, for the case that RS of NSC is not limited within SMTC,   + introduction of additional measurement restriction is needed, and   + for intra-frequency NSC L1 measurements conducted outside measurement gaps, introduction of additional scheduling restriction is needed, and   + network may have full flexibility in configuration of the RS periodicity and offset, so that in some cases the overlapping between NSC L1 measurements and measurement gaps can be avoided.   [Response to Q2]  If the receive timing of the measurement RS from the non-serving cell can be different from the receive timing of the signals from the serving cell, RAN4 has identified the following impacts   * If the receive timing is different from the serving cell, for the case when the measurement RS from the non-serving cell is within SMTC, legacy measurement behaviour based on L3 measurement can be reused from RAN4 perspective; * For the case when the measurement RS from the non-serving cell is not within SMTC   + If the supported timing difference between RS from NSC and serving cell needs to be larger than 1 CP, then UE need to perform cell identification and cell measurement for SSB based on multiple FFT window, while the complexity of the UE is increased significantly.   + Otherwise, UE may only be able to support timing difference between RS from NSC and serving cell less than 1 CP, in case UE may use single FFT window for the measurement. In this case, if the actual timing difference between RS from NSC and serving cell is larger than 1 CP, measurement performance will be degraded. |
| R4-2110069 | OPPO | Observation 1: Longer evaluation period would be expected, if not limiting the measurement for L1-RSRP to be carried out within the SMTC windows.  Observation 2: The performance degradation should be expected for the measurement, if the time difference between the receive timing of the measurement RS from the non-serving cell and the receive timing of the signals from the serving cell exceed the minimum requirement of UE (e.g., MRTD or CP). |
| R4-2109734 | Qualcomm | Observation1: L1/L2 based inter-cell mobility will involve measuring the SSB resources of the non-serving cells in the L1 beam measurement framework to ensure lower measurement and reporting latency.  Proposal1: Indicate in the reply LS to RAN1 that for non-serving cell resources that donot require a measurement gap to measure, it is not necessary to limit the measurement resources within a SMTC window.  Proposal1.1: Indicate in the reply LS if the non-serving cell resources would require a measurement gap to be measured, a measurement window would be needed to confine the resources within a gap.  Proposal1.2: RAN4 to discuss if it is helpful to indicate to RAN1 there are possible solutons to support gapless inter-frequency measurements.  Proposal2: SSB resource can be supported for measuring the non-serving cell with the different receive timing from the serving cell.  Proposal2.1: RAN4 to discuss whether to clarify with RAN1 how to derive the measurement timing for non-serving cell, for example, based on the L3 cell detection(SSB based search).  Proposal2.2: RAN4 to discuss if the limitation of measuring CSI-RS of the non-serving cell shall be conveyed to RAN1. |

## Open issues summary

*In submitted contributions, companies provide the input for response to question 1 and 2 respectively. Therefore, the suggested sub-topics are*

*Sub topic 2-1: Response to Question 1*

*Sub topic 2-2: Response to Question 2*

### Sub-topic 2-1 Response to question 1

*Sub-topic description:*

*To response the question 1, two issues have to be discussed, i.e,*

**Issue 2-1-1: Implication(s)/Benefit(s) of limiting L1-RSRP measurement within SMTC**

* Proposals
  + Option 1: Existing framework and requirements for L3 neighbor cell measurement could be reused (Apple, Nokia, vivo)
  + Option 2: In FR1, there is no impact on limiting L1-RSRP measurement within SMTC window. In FR2, sharing factor shall be considered (MTK)
  + Option 3: If it can be assumed that UE can perform L1-RSRP based on rough beam pattern, UE can perform L1-RSRP measurements on non-serving cell based on the SSB resources within SMTC windows (Huawei, HiSilicon)
  + Option 4: If the RS periodicity and offset for NSC L1 measurements is the same as the periodicity and offset of the SMTC, the overlapping factor Kp can be reused. Also, even intra-frequency L1-RSRP measurement shall be conducted within gap for the case that SMTC is fully overlapped with gap. (vivo)
  + Option 5: Longer measurement period (OPPO)
  + Option 6: Applicable for the non-serving cell resources would require a measurement gap to be measured (Qualcomm)
* Recommended WF
  + Collect companies’ view (More than 1 option can be selected)

**Issue 2-1-2: Implications/Benefits of not limiting L1-RSRP measurement within SMTC**

* Proposal
  + Option 1: Not limiting the NCS L1-RSRP to SMTC can have impact on SSB transmission frequency and UE measurement burden (Nokia)
  + Option 2: If it can be assumed that UE can perform L1-RSRP based on fine beam pattern, UE can perform L1-RSRP measurements on non-serving cell outside SMTC windows (Huawei, HiSilicon)
  + Option 3: New requirements including measurement restriction and scheduling restrictions (vivo)
  + Option 4: Network may have full flexibility in configuration of the RS periodicity and offset (vivo)
  + Option 5: Shorten measurement time (Apple)
  + Option 6: Applicable for Non-serving cell resources that donot require a measurement gap to measure (Qualcomm)
* Recommended
  + Collect companies’ view (More than 1 option can be selected)

**Issue 2-1-3 Can RAN4 conclude the suggestion to RAN1 on limiting L1-RSRP measurement within SMTC?**

* Proposal
  + Option 1: Yes
  + Option 2: No
* Recommended
  + Collect companies’ view. If no clear consensus, 2nd round discussion can only focus on the draft of implication(s)/benefit(s) without any conclusions.

### Sub-topic 2-2 Response to question 2

*Sub-topic description*

*Open issues and candidate options before e-meeting:*

**Issue 2-2-1: Implication(s)/benefit(s) of different receive timing of the measurement RS from the non-serving cell and the receive timing of the signals from the serving cell**

* Proposals
  + Option 1: In FR1 TDD and FR2 the intra-frequency neighbor cell is assumed to be synchronous and can derive timing from serving cell. For FR1 FDD the intra-frequency cell could be asynchronous and have different receive timing compared to serving cell.(Apple)
  + Option 2: For R17 inter-cell mobility/mTRP, UE should receive downlink transmission from multiple TRP within a CP, otherwise UE may not be able to measure and receive the signals simultaneously from multiple TRPs. (MTK)
  + Option 3: Time difference needs to be limited for accurate L1-RSRP measurement under non-collocation TRxP scenario. RAN4 may need to work on a timing offset related requirement to maintain L1-RSRP performance(Nokia)
  + Option 4: For the case when the measurement RS from the non-serving cell is within SMTC, legacy measurement behaviour based on L3 measurement can be reused from RAN4 perspective. For the case when measurement outside SMTC, different performance for different cases of timing difference between SC and NSC, i.e., >CP case or < CP case (vivo)
  + Option 6: Performance degradation if timing difference exceed the minimum requirement of UE (e.g., MRTD or CP). (OPPO)
* Recommended WF
  + Collect companies’ view (more than 1 option can be selected)

**Issue 2-2-2 Can RAN4 conclude that different receive timing of the measurement RS from the non-serving cell and the receive timing of the signals from the serving cell can be supported?**

* Proposal
  + Option 1: Yes (Huawei, QC)
  + Option 2: No
* Recommended
  + Collect companies’ view. If no clear consensus reached for this issue, 2nd round discussion can only focus on the draft of implication(s)/benefit(s) without any conclusions.

## Companies views’ collection for 1st round

### Open issues

Sub topic 2-1: Response to question 1

|  |  |
| --- | --- |
| **Company** | **Comments** |
| XXX | **Issue 2-1-1: Implication(s)/Benefit(s) of limiting L1-RSRP measurement within SMTC**  **Issue 2-1-2: Implications/Benefits of not limiting L1-RSRP measurement within SMTC**  **Issue 2-1-3 Can RAN4 conclude the suggestion to RAN1 on limiting L1-RSRP measurement within SMTC?** |

Sub topic 2-2: Response to question 2

|  |  |
| --- | --- |
| **Company** | **Comments** |
| XXX | **Issue 2-2-1: Implication(s)/benefit(s) of different receive timing of the measurement RS from the non-serving cell and receive timing of the signals from the serving cell**  **Issue 2-2-2 Can RAN4 conclude that different receive timing of the measurement RS from the non-serving cell and the receive timing of the signals from the serving cell can be supported?** |

## Summary for 1st round

### Open issues

*Moderator tries to summarize discussion status for 1st round, list all the identified open issues and tentative agreements or candidate options and suggestion for 2nd round i.e. WF assignment.*

|  |  |
| --- | --- |
|  | **Status summary** |
| **Sub-topic#2-1** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |
| **Sub-topic#2-2** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |

## Discussion on 2nd round (if applicable)

*Moderator can provide summary of 2nd round here. Note that recommended decisions on tdocs should be provided in the section titled ”Recommendations for Tdocs”.*

# Topic #3: Impac to RRM requirements for feMIMO

*Main technical topic overview. The structure can be done based on sub-agenda basis.*

## Companies’ contributions summary

|  |  |  |
| --- | --- | --- |
| **T-doc number** | **Company** | **Proposals / Observations** |
| R4-2109733 | Qualcomm | Proposal1: RAN4 to prioritize identifying the RRM impacts of the enhancements in the multi-beam operations especially universal TCI state framework, BM overhead/latency reduction and L1/L2 based inter-cell mobility.  Proposal1.1: Discussions on MPUE and MPE mitigation may start later which depends on the RAN1 progress.  Proposal2: RAN4 to discuss whether the SRS switch for up to 8 antennas shall be handled in the work item of RRM further enhancement.  Proposal3: Depending on the RAN1 progress, RAN4 to discuss if HST-SFN related RRM topics would be discussed in the feMIMO WI or HST WI. |
| R4-2109837 | Samsung | Observation 1: TCI switch and update delay requirements has to be updated to accommodate the TCI states switch without DL assignments.  Observation 2: RAN4 has to discuss the TCI switch and update delay requirements after RAN1 has concreted conclusion on TCI framework.  Observation 3: RAN4 has to discuss the requirements impact due to the PL-RS design in Rel-17 FeMIMO  Observation 4: RAN4 is supposed to specify the delay and accuracy requirements for L1 measurements for non-serving cells in Rel-17 FeMIMO WI  Observation 5: Detailed requirements for L1 measurement for non-serving cells can be only discussed once the RAN1 design on reporting quantity and reporting capability is concluded  Observation 6: RAN4 is supposed to discuss the update of delay requirements for beam indication signalling  Observation 7: RAN1 terminologies, assumption, use cases and clarification notes for multi-panel UE for uplink panel selection shall be used as baseline in RAN4 for further discussions.  Observation 8: RAN4 is only supposed to discuss the impact to RRM requirements due to uplink panel selection after RAN1 design is clear.  Observation 9: RAN4 is only supposed to discuss the impact to RRM requirements due to MPE mitigation after RAN1 design is clear.  Observation 10: Link recovery requirements defined in current specification for cell specific beam management can be reused for TRP specific beam management. Wording in spec can be updated to accommodate the newly introduced TRP specific beam management in Rel-17.  Observation 11: RAN4 is supposed to discuss the update of link recovery procedure after RAN1 design is clear  Observation 12: Core requirements for group based L1-RSRP measurements assuming simultaneous reception channel/RS with different QCL type D can be postponed to further release unless request from RAN1 is received.  Observation 13: No impact to RRM requirements for SRS enhancement in Rel-17  Observation 14: No impact to RRM requirements for CSI enhancement in Rel-17 |
| R4-2110018 | Nokia | Proposal 1 : RAN4 needs to develop related TCI state switch delay requirements related to the Rel-17 common beam management agreements.  Proposal 2 : RAN4 needs to discuss if new TCI state switch delay requirements are needed based on the RAN1 agreements for unified TCI framework.  Observation 1 : RAN1 is under discussion about UL beam selection for UEs with multi-panels. A UE may need to assist the gNB with measurements related to the UL selection related to MPE. Further detail behaviors are up to RAN1 discussions.  **Proposal 3 :** Although it seems early to specify clear UE behaviors from RAN1 discussion, UE behaviors associated with inter-cell multi-TRP operations and multi-DCI based multi-PDSCH reception needs to be tested in RAN4.  **Observation 2 :** RAN1 is under discussions regarding reliability improvement on multi-TRxP UL transmissions for both PUCCH and PUSCH.  **Proposal 4 :** RAN4 needs to discuss beam-management-related enhancements for simultaneous multi-TRxP transmission with multi-panel reception including UE capabilities.  **Proposal 5 :** RAN4 needs to discuss UE behaviors related with synchronization and channel estimation (i.e. when two TCI states are indicated) to support HST-SFN deployment.  **Observation 3 :** RAN1 is discussing enhancement on SRS with open issues like whether UL granting DCI can have larger size than DL granting DCI. The DCI size may make decoding behavior difference for DCI overhead/usage reduction.  **Observation 4 :** RAN1 has introduced CSI reporting with multiple transmission/interference hypotheses that requires a UE to feedback multiple CSIs covering both single-TRxP and NCJT hypotheses.  **Proposal 6:** RAN4 needs to discuss UE behaviours making multiple CSIs feedback covering both single-TRxP and NCJT hypotheses to support multi-TRxP and/or multi-panel transmission.  **Proposal 7 :** RAN4 needs to discuss about a FDD test regarding how UE processes dominant SD-FD component pairs and use them to pre-code the CSI-RS for Type II port selection codebook enhancement. |
| R4-2110305 | Huawei, HiSilicon | Proposal 1: For L1/L2-centric inter-cell mobility, RAN4 investigate the beam measurement/reporting requirements on non-serving cell(s), and at least SSB based beam measurement/reporting requirements on non-serving cell(s) need to be defined.  Proposal 2: The L1-RSRP measurement/reporting requirements on serving cell(s) can be used as a starting point to define the beam measurement/reporting requirements on non-serving cell(s).  Proposal 3: For L1-RSRP measurements in FR2, the existing measurement restriction requirements in Rel-16 cannot be reused for multi-TRP transmission in R17 and RAN4 shall study new measurement restriction requirements for multi-TRP transmission.  Proposal 4: RAN4 study whether to introduce the sharing factor for multiple beam pairs/groups into L1-RSRP measurement period requirements.  Proposal 5: It is suggested that the existing L1-RSRP measurement accuracy requirements can be applied for multi-TRP transmission in Rel-17.  Proposal 6: The existing scheduling restriction requirements for L1-RSRP measurements can be applied in Rel-17.  Proposal 7: Due to introducing TRP-specific BFR in Rel-17, RAN4 study whether the existing sharing strategy of BFD/CBD measurements can be reused. If it cannot be reused, RAN4 needs to study the sharing strategy of BFD/CBD measurements in Rel-17.  Proposal 8: RAN4 need to evaluate FR2 measurement performance in HST-SFN deployments and investigate the FR2 measurement requirements applicable for HST-SFN deployments in Rel-17. |
| R4-2112368 | vivo | Proposal 1 RAN4 to discuss the potential RRM impact based on the progress, i.e. agreements achieved, in RAN1.   * Synchronization assumption, i.e. Timing assumption for inter-cell beam measurement. In R16 CSI-RS WI, RAN4 discussion was based on single FFT assumption. Not sure whether the same still works for R17 feMIMO. At least for inter-cell M-TRP it is concluded in RAN1 that DL transmission from multiple TRP is assumed to be within CP. * Measurement accuracy for L1-RSRP/L1-SINR on the non-serving cell RSs. * TCI states, uplink spatial relation and pathloss RS updating mechanism for the non-serving cell RSs * Pending on RAN2 progress, including   + Handover and interruption requirements for L1/L2-Centric handover * For the FFS part, i.e. inter-cell M-TRP transmission, including   + MRTD/MTTD   + RLM/BFD/CBD   + Others * For multi-panel enhancements, RAN4 can further discuss related RRM requirements as long as the definition of ‘panel’ becomes stable in RAN1. * RLM/BFD enhancements based on the 2 TCI-states DMRS. * TCI switching for 2 TCI-states DMRS * Others are not precluded. * The interruption requirements for SRS antenna switching   Proposal 2 RAN4 to discuss the potential evaluation assumptions for investigation on feasibility of FR2 link recovery procedure. |

## Open issues summary

In submitted contributions, companies provide the overall analysis for impact to RRM requirements for FeMIMO. Based on the observation, most of analysis related to RRM impact are quite aligned. Continue collecting other companies view is expected in this e-mail thread. It is also observed that no RRM impact is identified for some objectives, e.g, CSI enhancements. Sub topics are also setup to confirm RAN4 understanding on no RRM impact due to certain objectives. Therefore, the sub topics are arranged as

* Sub topic 3-1: Overall RRM impact
* Sub topic 3-2: Confirm no RRM impact for certain objectives

For overall RRM impact, table manner summary is provided. Companies are encouraged to provide comments/input for respective objective in the table. Based on the input from companies in the 1st round, detailed WF can be discussed in the 2nd round for future RAN4 meeting.

### Sub-topic 3-1 Overall RRM impact

*Sub-topic description:*

*Open issues and candidate options before e-meeting:*

**Overall RRM impact**

* Proposals
  + Companies are encouraged to provide the input, i.e., Yes or No, to indicate whether these is any impact to RRM requirements for certain feature in the below table. Additional clarification if any can be also added
  + The intension is to collect companies view at this stage instead of making any decision unless clear consensus reached.
* Recommended WF
  + Collect companies’ view

### Sub-topic 3-2 Confirm no RRM impact

*Sub-topic description:*

*Open issues and candidate options before e-meeting:*

**Confirm no RRM impact**

* Proposals: Confirm no RRM impact for below objectives
  + Option 1: No RRM impacts for M-TRP for PDCCH, PUCCH and PUSCH
  + Option 2: No RRM impact for CSI enhancement
  + Option 3: NO RRM impact for other objectives if any
* Recommended WF
  + Collect companies’ view (More than 1 options can be selected)

## Companies views’ collection for 1st round

### Open issues

Sub topic 1-1

Companies are encouraged to provide the input/comments in the below table

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Sub-items | | Samsung | Nokia | Qualcomm | Hauwei | vivo |
| Item 1:  Multi-Beam operation Enhancement | 1a: Unified TCI for DL and UL | Yes  TCI state switch/delay requirements for unified TCI state | Yes  TCI switch delay | Yes |  | Yes |
| 1b: L1/L2 centric inter-cell mobility | Yes  Inter-cell L1 measurement for non-serving cells |  | Yes | Yes | Yes,  Measurement accuracy for non-serving cells  Handover and interruption pending on RAN2 |
| 1c: Beam indication signaling medium | Yes  TCI state switch delay and CBD requirements |  | Yes |  |  |
| 1d: MP-UE | FFS  Pending on RAN1 agreement on MP-UE |  | start later which depends on the RAN1 progress. |  |  |
| 1e: MPE | FFS  Pending on RAN1 agreement on MPE solutions |  | start later which depends on the RAN1 progress. |  |  |
| Item 2:  Multi-TRP Enhancement | 2a: M-TRP for PDCCH, PUCCH and PUSCH | No | No  (Proposal 3 in R4-2110018 seems UE Demod related proposal) |  |  |  |
| 2b: M-TRP intel-cell operation | No |  |  |  | Yes  Sync assumption pending on RAN1 design  FFS for MRTD/MTTD/RLM |
| 2c: Beam management enhancement | Yes  FFS whether have impact on RRM requirements | Yes including UE capability |  | Yes | FFS for BFD/CBD |
| 2d: HST-SFN enhancement | No | No  (Proposal 5 in R4-2110018 seems UE Demod related proposal) | Yes,  Handled in feMIMO WI or HST WI. | Yes |  |
| Item 3:  SRS enhancement | | No |  | Yes,  handled in the work item of RRM further enhancement |  | Yes，  Interruption requirements |
| Item4:  CSI enhancement | 4a: CSI enhancement for FDD | No | No  (Proposal 7 in R4-2110018 seems UE Demod related proposal) |  |  |  |
| 4b: CSI enhancement for Multi-TRP | No | No  (Proposal 6 in R4-2110018 seems UE Demod related proposal) |  |  |  |
| Item 5  Investigation of link recovery procedure for FR2 serving cell | | FFS |  |  |  | potential evaluation assumptions |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Sub-items | | Company XX | Company YY |  |  |  |
| Item 1:  Multi-Beam operation Enhancement | 1a: Unified TCI for DL and UL |  |  |  |  |  |
| 1b: L1/L2 centric inter-cell mobility |  |  |  |  |  |
| 1c: Beam indication signaling medium |  |  |  |  |  |
| 1d: MP-UE |  |  |  |  |  |
| 1e: MPE |  |  |  |  |  |
| Item 2:  Multi-TRP Enhancement | 2a: M-TRP for PDCCH, PUCCH and PUSCH |  |  |  |  |  |
| 2b: M-TRP intel-cell operation |  |  |  |  |  |
| 2c: Beam management enhancement |  |  |  |  |  |
| 2d: HST-SFN enhancement |  |  |  |  |  |
| Item 3:  SRS enhancement | |  |  |  |  |  |
| Item4:  CSI enhancement | 4a: CSI enhancement for FDD |  |  |  |  |  |
| 4b: CSI enhancement for Multi-TRP |  |  |  |  |  |
| Item 5  Investigation of link recovery procedure for FR2 serving cell | |  |  |  |  |  |

Sub topic 1-2

|  |  |
| --- | --- |
| **Company** | **Comments** |
| XXX |  |

## Summary for 1st round

### Open issues

*Moderator tries to summarize discussion status for 1st round, list all the identified open issues and tentative agreements or candidate options and suggestion for 2nd round i.e. WF assignment.*

|  |  |
| --- | --- |
|  | **Status summary** |
| **Sub-topic#1** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |

## Discussion on 2nd round (if applicable)

*Moderator can provide summary of 2nd round here. Note that recommended decisions on tdocs should be provided in the section titled ”Recommendations for Tdocs”.*

# Topic #4: Work plan

*Main technical topic overview. The structure can be done based on sub-agenda basis.*

## Companies’ contributions summary

|  |  |  |
| --- | --- | --- |
| **T-doc number** | **Company** | **Proposals / Observations** |
| R4-2109837 | Samsung | RAN4 99e (May 2021)   * Agree overall work plan for RRM core requirements * Initial analysis to potential RRM impact due to FeMIMO features   RAN4 100e (Aug 2021)   * Initial discussions on UE RRM requirements impact due to FeMIMO features   RAN4 101e (Nov 2021)   * Further discussions on UE RRM requirements impact due to FeMIMO features   RAN4 101-bis e (Jan 2022, meeting to be confirmed)   * Further discussions on UE RRM requirements impact due to FeMIMO features * Review draft CRs for endorsement if any   RAN4 102e (Feb 2022)   * Agree RAN4 CR to finalize the RRM core requirements   Note 1: This work plan only focused on RRM core part.  Note 2: Detailed work split on CR drafting if any will be provided during WI phase in appropriate time. |

## Open issues summary

### Sub-topic 4-1View collection for work plan

*Sub-topic description:*

*Companies are encouraged to provide the comments/view on work plan*

**Issue 4-1: Work plan**

* Proposals
  + Option 1: Work plan in R4-2109837
* Recommended WF
  + Approved Work plan based on companies’ comments.

## Companies views’ collection for 1st round

### Open issues

|  |  |
| --- | --- |
| **Company** | **Comments** |
| XX |  |

## Summary for 1st round

### Open issues

*Moderator tries to summarize discussion status for 1st round, list all the identified open issues and tentative agreements or candidate options and suggestion for 2nd round i.e. WF assignment.*

|  |  |
| --- | --- |
|  | **Status summary** |
| **Sub-topic#1** | *Tentative agreements:*  *Candidate options:*  *Recommendations for 2nd round:* |

## Discussion on 2nd round (if applicable)

*Moderator can provide summary of 2nd round here. Note that recommended decisions on tdocs should be provided in the section titled ”Recommendations for Tdocs”.*

# Recommendations for Tdocs

## 1st round

**New tdocs**

|  |  |  |
| --- | --- | --- |
| **Title** | **Source** | **Comments** |
| WF on … | YYY |  |
| LS on … | ZZZ | To: RAN\_X; Cc: RAN\_Y |
|  |  |  |

**Existing tdocs**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tdoc number** | **Title** | **Source** | **Recommendation** | **Comments** |
| R4-210xxxx | CR on … | XXX | Agreeable, Revised, Merged, Postponed, Not Pursued |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

Notes:

1. Please include the summary of recommendations for all tdocs across all sub-topics incl. existing and new tdocs.
2. For the Recommendation column please include one of the following:
   1. CRs/TPs: Agreeable, Revised, Merged, Postponed, Not Pursued
   2. Other documents: Agreeable, Revised, Noted
3. For new LS documents, please include information on To/Cc WGs in the comments column
4. Do not include hyper-links in the documents

## 2nd round

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tdoc number** | **Title** | **Source** | **Recommendation** | **Comments** |
| R4-210xxxx | CR on … | XXX | Agreeable, Revised, Merged, Postponed, Not Pursued |  |
| R4-210xxxx | WF on … | YYY | Agreeable, Revised, Noted |  |
| R4-210xxxx | LS on … | ZZZ | Agreeable, Revised, Noted |  |
|  |  |  |  |  |

Notes:

1. Please include the summary of recommendations for all tdocs across all sub-topics.
2. For the Recommendation column please include one of the following:
   1. CRs/TPs: Agreeable, Revised, Merged, Postponed, Not Pursued
   2. Other documents: Agreeable, Revised, Noted
3. Do not include hyper-links in the documents