**3GPP TSG-RAN4 Meeting #97-e *R4-20xxxxx***

**Online, , 2nd Nov 2020 - 13th Nov 2020**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.101-2** | **CR** | **0270** | **rev** | **1** | **Current version:** | **16.5.0** |  |
|  | | | | | | | | |
| *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:*** | REL16 eBC capability alingment with 38.306 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** | R4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_RF\_FR2\_req\_enh-Core | | | | |  | ***Date:*** | | | 2020-11-10 |
|  |  | | | |  | |  | | |  |
| ***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 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-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | RAN4 specifications is aligned with RAN2 specification. There is TBD in applicability clause. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | * REL-16 BC capability names are corrected to align with the RAN2 specifications. * SSB signal conditions for CSI-RS based eBC requirements are added. * TBD for additional applicability rules is removed as additional applicability rules are not necessary. Separate UE capabilities are defined for BC based on SSB and BC based on CSI-RS. Both UE requirements have their own conditions and UEs should be verified against the Rel-16 eBC requirements that it indicate support for. Therefore, no further applicability rules are needed. * n259 is added to the requirements | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | RAN4 specifications are not aligned with the RAN2 specifications, SSB signal conditions for the CSI-RS based eBC requirements are not available, TBD in applicability clause remains and BC requirements for n259 are not specified. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 6.6 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | |  | | | | | | | | |

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\* Start of changes \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

## 6.6 Beam correspondence

### 6.6.1 General

Beam correspondence is the ability of the UE to select a suitable beam for UL transmission based on DL measurements with or without relying on UL beam sweeping.

### 6.6.2 (Void)

### 6.6.3 (Void)

### 6.6.4 Beam correspondence for power class 3

#### 6.6.4.1 General

The beam correspondence requirement for power class 3 UEs consists of three components: UE minimum peak EIRP (as defined in Clause 6.2.1.3), UE spherical coverage (as defined in Clause 6.2.1.3), and beam correspondence tolerance (as defined in Clause 6.6.4.2). The beam correspondence requirement is fulfilled if the UE satisfies one of the following conditions, depending on the UE's beam correspondence capability IE *beamCorrespondenceWithoutUL-BeamSweeping*, as defined in TS 38.306 [14]:

- If *beamCorrespondenceWithoutUL-BeamSweeping* is supported, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 with its autonomously chosen UL beams and without uplink beam sweeping. Such a UE is considered to have met the beam correspondence tolerance requirement.

- If *beamCorrespondenceWithoutUL-BeamSweeping* and *beamCorrespondenceSSB-based-r16* are supported, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 using the SSB based enhanced beam correspondence requirements as defined in Clause 6.6.4.3.2.

- If *beamCorrespondenceWithoutUL-BeamSweeping* and *beamCorrespondenceCSI-RS-based-r16* are supported, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 using CSI-RS based enhanced beam correspondence requirements as defined in Clause 6.6.4.3.3.

- If *beamCorrespondenceWithoutUL-BeamSweeping* is not present, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 with uplink beam sweeping. Such a UE shall meet the beam correspondence tolerance requirement defined in Clause 6.6.4.2 and shall support uplink beam management, as defined in TS 38.306 [14].

- If *beamCorrespondenceWithoutUL-BeamSweeping* is not present and *beamCorrespondenceSSB-based-r16* is supported, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 with uplink beam sweeping using the SSB based enhanced beam correspondence requirements as defined in Clause 6.6.4.3.2. Such a UE shall meet the beam correspondence tolerance requirement defined in Clause 6.6.4.2 and shall support uplink beam management, as defined in TS 38.306 [14].

- If *beamCorrespondenceWithoutUL-BeamSweeping* is not present and *beamCorrespondenceCSI-RS-based-r16* is supported, the UE shall meet the minimum peak EIRP requirement according to Table 6.2.1.3-1 and spherical coverage requirement according to Table 6.2.1.3-3 with uplink beam sweeping using CSI-RS based enhanced beam correspondence requirements as defined in Clause 6.6.4.3.3. Such a UE shall meet the beam correspondence tolerance requirement defined in Clause 6.6.4.2 and shall support uplink beam management, as defined in TS 38.306 [14].

#### 6.6.4.2 Beam correspondence tolerance for power class 3

The beam correspondence tolerance requirement ∆EIRPBC for power class 3 UEs is defined based on a percentile of the distribution of ∆EIRPBC, defined as ∆EIRPBC = EIRP2 - EIRP1 over the link angles spanning a subset of the spherical coverage grid points, such that

- EIRP1 is the total EIRP in dBm calculated based on the beam the UE chooses autonomously (corresponding beam) to transmit in the direction of the incoming DL signal, which is based on beam correspondence without relying on UL beam sweeping.

- EIRP2 is the best total EIRP (beam yielding highest EIRP in a given direction) in dBm which is based on beam correspondence with relying on UL beam sweeping.

- The link angles are the ones corresponding to the top Nth percentile of the EIRP2 measurement over the whole sphere, where the value of N is according to the test point of EIRP spherical coverage requirement for power class 3, i.e. N = 50.

For power class 3 UEs, the requirement is fulfilled if the UE's corresponding UL beams satisfy the maximum limit in Table 6.6.4.2-1.

Table 6.6.4.2-1: UE beam correspondence tolerance for power class 3

|  |  |
| --- | --- |
| Operating band | Max ∆EIRPBC at 85th %-tile ∆EIRPBC CDF (dB) |
| n257 | 3.0 |
| n258 | 3.0 |
| n259 | 3.2 |
| n260 | 3.2 |
| n261 | 3.0 |
| NOTE: The requirements in this table are verified only under normal temperature conditions as defined in Annex E.2.1 | |

#### 6.6.4.3 Side Conditions

##### 6.6.4.3.1 Side Condition for beam correspondence based on SSB and CSI-RS

The beam correspondence requirements are only applied under the following side conditions:

- The downlink reference signals including both SSB and CSI-RS are provided and Type D QCL shall be maintained between SSB and CSI-RS.

- The reference measurement channel for beam correspondence are fulfilled according to the CSI-RS configuration in Annex A.3.

- For beam correspondence, conditions for L1-RSRP measurements are fulfilled according to Table 6.6.4.3.1-1 and Table 6.6.4.3.1-2.

Table 6.6.4.3.1-1: Conditions for SSB based L1-RSRP measurements for beam correspondence

|  |  |  |  |
| --- | --- | --- | --- |
| Angle of arrival | NR operating bands | Minimum SSB\_RP Note 2 | SSB Ês/Iot |
| dBm / SCSSSB | dB |
| SCSSSB = 120 kHz |
| All angles **Note 1** | n257 | -96.4 | ≥6 |
| n258 | -96.4 |
| n259 | -92.1 |
| n260 | -92.1 |
| n261 | -96.4 |
| NOTE 1: For UEs that support multiple FR2 bands, the Minimum SSB\_RP values for all angles are increased by ΣMBS, the UE multi-band relaxation factor in dB specified in clause 6.2.1.  NOTE 2: Values specified at the radiated requirements reference point to give minimum SSB Ês/Iot, with no applied noise. | | | |

Table 6.6.4.3.1-2: Conditions for CSI-RS based L1-RSRP measurements for beam correspondence

|  |  |  |  |
| --- | --- | --- | --- |
| Angle of arrival | NR operating bands | Minimum CSI-RS\_RP Note 2 | CSI-RS Ês/Iot |
| dBm / SCSCSI-RS | dB |
| SCSCSI-RS = 120 kHz |
| All angles **Note 1** | n257 | -96.4 | ≥6 |
| n258 | -96.4 |
| n259 | -92.1 |
| n260 | -92.1 |
| n261 | -96.4 |
| NOTE 1: For UEs that support multiple FR2 bands, the Minimum CSI-RS\_RP values are increased by ΣMBS, the UE multi-band relaxation factor in dB specified in clause 6.2.1.  NOTE 2: Values specified at the radiated requirements reference point to give minimum CSI-RS Ês/Iot, with no applied noise. | | | |

##### 6.6.4.3.2 Side Condition for SSB based enhanced Beam Correspondence requirements

The beam correspondence requirements for beam correspondence based on SSB are only applied under the following side conditions:

- The downlink reference signal SSB is provided and CSI-RS is not provided.

- For beam correspondence, conditions for L1-RSRP measurements are fulfilled according to Table 6.6.4.3.1-1.

##### 6.6.4.3.3 Side Condition for CSI-RS based enhanced Beam Correspondence requirements

The beam correspondence requirements for beam correspondence based on CSI-RS are only applied under the following side conditions:

- The downlink reference signals including both SSB and CSI-RS are provided.

- The reference measurement channel for beam correspondence are fulfilled according to the CSI-RS configuration in Annex A.3.

- For beam correspondence, conditions for L1-RSRP measurements are fulfilled according to Table 6.6.4.3.1-2 and SSB signal is provided according to Table 6.6.4.3.3-1.

Table 6.6.4.3.3-1: SSB signal conditions for CSI-RS based beam correspondence requirements

|  |  |  |  |
| --- | --- | --- | --- |
| Angle of arrival | NR operating bands | Minimum SSB\_RP Note 2 | SSB Ês/Iot |
| dBm / SCSSSB | dB |
| SCSSSB = 120 kHz |
| All angles **Note 1** | n257 | -101,4 | ≥1 |
| n258 | -101,4 |
| n259 | -97,1 |
| n260 | -97,1 |
| n261 | -101,4 |
| NOTE 1: For UEs that support multiple FR2 bands, the Minimum SSB\_RP values for all angles are increased by ΣMBS, the UE multi-band relaxation factor in dB specified in clause 6.2.1.  NOTE 2: Values specified at the radiated requirements reference point to give minimum SSB Ês/Iot, with no applied noise. | | | |

#### 6.6.4.4 Applicability

For UEs supporting more than one type of beam correspondence, the following applicability rules apply:

- If a UE meets enhanced beam correspondence requirements either based on SSB or based on CSI-RS, it is considered to have met the beam correspondence requirements based on SSB and CSI-RS.

- For a UE supporting either SSB based or CSI-RS based enhanced beam correspondence, UE shall meet the supported enhanced beam correspondence requirements.

- For a UE supporting both SSB based and CSI-RS based enhanced beam correspondence UE shall meet the both SSB based and CSI-RS based enhanced beam correspondence requirements and the following applicability rules for verifying the requirements apply:

- The enhanced beam correspondence requirements shall be verified with the SSB based enhanced beam correspondence side conditions in clause 6.6.4.3.2.- If UE meets the SSB based enhanced beam correspondence requirements using the side conditions in clause 6.6.4.3.2 and meets the minimum peak EIRP requirement as defined in clasue 6.2.1.3 using the CSI-RS based side conditions in clause 6.6.4.3.3, where the link direction is determined in the SSB based enhanced beam correspondence test, it is considered the UE have met both the SSB based and CSI-RS based enhanced beam correspondence requirements.- Otherwise, if UE does not meet above minimum peak EIRP requirement using the CSI-RS based side condition, the UE shall be further verified with the CSI-RS based enhanced beam correspondence side conditions in clause 6.6.4.3.3.

### 6.6.5 (Void)

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\* End of changes \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*