**3GPP TSG-RAN2 Meeting #109 electronic *R2-200xxxx***

**24th Feb – 6th Mar, 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.331** | **CR** | **1484** | **rev** | **1** | **Current version:** | **15.8.0** |  |
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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 | **X** | Core Network |  |

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| ***Title:*** | CR on overheating assistance reporting in handover case | | | | | | | | | |
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| ***Source to WG:*** | Huawei, HiSilicon | | | | | | | | | |
| ***Source to TSG:*** | RAN2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_newRAT-Core | | | | |  | ***Date:*** | | | 2020-02-14 |
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| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-15 |
|  | *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:*** | | In RAN2#108 meeting, R2-1916489 was agreed and it was specified that UE should repeat reporting UE assistance provided within 1 second prior to change of PCell. However, UE only needs to repeat the reporting when the overheating assistance information is supported by the target gNB (UE is allowed to report the overheating assistance information in the target gNB). Otherwise, UE does not need to repeat the reporting.  If both delay budget and overheating are configured in the source gNB, and only overheating is configured in the target gNB. the UE reports delay budget and overheating to the source gNB, after connects to target gNB, the UE cannot repeating the UE assistance information with same contents since the delay budget is not allowed to report in the target gNB. The UE should initiate transmission of a *UEAssistanceInformation* message again, but only repeating the same overheating assistance information. | | | | | | | | |
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| ***Summary of change:*** | | 1. Add the condition of repeating the overheating assistance information reporting in target gNB. 2. Add the action of “The UE shall submit the *UEAssistanceInformation* message to lower layers for transmission”, which is missing in NR spec.   **Impact Analysis**  Impacted 5G architecture options: Standalone, NE-DC, NR-DC  Impacted functionality:  UE assistance information  Inter-operability:  1. If the network is implemented according to the CR and the UE is not, the UE may submit information that is against network configuration*.*  2. If the UE is implemented according to the CR and the network is not, there is no inter-operability problem, the UE won’t repeat the overheating assistance information which are not allowed by network configuration. | | | | | | | | |
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| ***Consequences if not approved:*** | | The UE may report the overheating assistance information after handover which may contain information that is not allowed by the target gNB configuration. | | | | | | | | |
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| ***Clauses affected:*** | | 5.3.5.3, 5.7.4.3 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | |  | | | | | | | | |
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| ***This CR's revision history:*** | |  | | | | | | | | |

---------------------------------------------START OF CHANGE-------------------------------------------

#### 5.3.5.3 Reception of an *RRCReconfiguration* by the UE

The UE shall perform the following actions upon reception of the *RRCReconfiguration*:

1> if the *RRCReconfiguration* is received via other RAT (i.e., inter-RAT handover to NR):

2> if the *RRCReconfiguration* does not include the *fullConfig* and the UE is connected to 5GC (i.e., delta signalling during intra 5GC handover):

3> re-use the source RAT SDAP and PDCP configurations if available (i.e., current SDAP/PDCP configurations for all RBs from source E-UTRA RAT prior to the reception of the inter-RAT HO *RRCReconfiguration* message);

1> else:

2> if the RRCReconfiguration includes the fullConfig:

3> perform the full configuration procedure as specified in 5.3.5.11;

1> if the *RRCReconfiguration* includes the *masterCellGroup*:

2> perform the cell group configuration for the received *masterCellGroup* according to 5.3.5.5;

1> if the *RRCReconfiguration* includes the *masterKeyUpdate*:

2> perform AS security key update procedure as specified in 5.3.5.7;

1> if the *RRCReconfiguration* includes the *sk-Counter*:

2> perform security key update procedure as specified in 5.3.5.7;

1> if the *RRCReconfiguration* includes the *secondaryCellGroup*:

2> perform the cell group configuration for the SCG according to 5.3.5.5;

1> if the *RRCReconfiguration* includes the *mrdc-SecondaryCellGroupConfig:*

2> if the *mrdc-SecondaryCellGroupConfig* is set to *setup*:

3> if the *mrdc-SecondaryCellGroupConfig* includes *mrdc-ReleaseAndAdd*:

4> perform MR-DC release as specified in clause 5.3.5.10;

3> if the received *mrdc-SecondaryCellGroup* is set to *nr-SCG*:

4> perform the RRC reconfiguration according to 5.3.5.3 for the *RRCReconfiguration* message included in *nr-SCG*;

3> if the received *mrdc-SecondaryCellGroup* is set to *eutra-SCG*:

4> perform the RRC connection reconfiguration as specified in TS 36.331 [10], clause 5.3.5.3 for the *RRCConnectionReconfiguration* message included in *eutra-SCG*;

2> else (*mrdc-SecondaryCellGroupConfig* is set to *release*):

3> perform MR-DC release as specified in clause 5.3.5.10;

1> if the *RRCReconfiguration* message includes the *radioBearerConfig*:

2> perform the radio bearer configuration according to 5.3.5.6;

1> if the *RRCReconfiguration* message includes the *radioBearerConfig2*:

2> perform the radio bearer configuration according to 5.3.5.6;

1> if the *RRCReconfiguration* message includes the *measConfig*:

2> perform the measurement configuration procedure as specified in 5.5.2;

1> if the *RRCReconfiguration* message includes the *dedicatedNAS-MessageList*:

2> forward each element of the *dedicatedNAS-MessageList* to upper layers in the same order as listed;

1> if the *RRCReconfiguration* message includes the *dedicatedSIB1-Delivery*:

2> perform the action upon reception of *SIB1* as specified in 5.2.2.4.2;

1> if the *RRCReconfiguration* message includes the *dedicatedSystemInformationDelivery*:

2> perform the action upon reception of System Information as specified in 5.2.2.4;

1> if the *RRCReconfiguration* message includes the *otherConfig*:

2> perform the other configuration procedure as specified in 5.3.5.9;

1> set the content of the *RRCReconfigurationComplete* message as follows:

2> if the *RRCReconfiguration* includes the *masterCellGroup* containing the *reportUplinkTxDirectCurrent*; or

2> if the *RRCReconfiguration* includes the *secondaryCellGroup* containing the *reportUplinkTxDirectCurrent*:

3> include the *uplinkTxDirectCurrentList* for each serving cell with UL;

3> if UE is configured with SUL carrier:

4> include *uplinkDirectCurrentBWP-SUL* for each serving cell with SUL within the *uplinkTxDirectCurrentList*;

2> if the *RRCReconfiguration* message includes the *mrdc-SecondaryCellGroupConfig* with *mrdc-SecondaryCellGroup* set to *eutra-SCG*:

3> include in the *eutra-SCG-Response* the E-UTRA *RRCConnectionReconfigurationComplete* message in accordance with TS 36.331 [10] clause 5.3.5.3;

2> if the *RRCReconfiguration* message includes the *mrdc-SecondaryCellGroupConfig* with *mrdc-SecondaryCellGroup* set to *nr-SCG*:

3> include in the *nr-SCG-Response* the *RRCReconfigurationComplete* message;

1> if the UE is configured with E-UTRA *nr-SecondaryCellGroupConfig* (MCG is E-UTRA):

2> if the *RRCReconfiguration* message was received via SRB1:

3> submit the *RRCReconfigurationComplete* via the E-UTRA MCG embedded in E-UTRA RRC message *RRCConnectionReconfigurationComplete* as specified in TS 36.331 [10];

3> if *reconfigurationWithSync* was included in *spCellConfig* of an SCG:

4> initiate the Random Access procedure on the SpCell, as specified in TS 38.321 [3];

3> else:

4> the procedure ends;

NOTE 1: The order the UE sends the *RRCConnectionReconfigurationComplete* message and performs the Random Access procedure towards the SCG is left to UE implementation.

2> else (*RRCReconfiguration* was received via SRB3):

3> submit the *RRCReconfigurationComplete* message via SRB3 to lower layers for transmission using the new configuration;

NOTE 2: In (NG)EN-DC and NR-DC, in the case *RRCReconfiguration* is received via SRB1, the random access is triggered by RRC layer itself as there is not necessarily other UL transmission. In the case *RRCReconfiguration* is received via SRB3, the random access is triggered by the MAC layer due to arrival of *RRCReconfigurationComplete*.

1> else if the *RRCReconfiguration* message was received within the *nr-SCG* within *mrdc-SecondaryCellGroup* (NR SCG RRC Reconfiguration):

2> if *reconfigurationWithSync* was included in *spCellConfig* in *nr-SCG*:

3> initiate the Random Access procedure on the PSCell, as specified in TS 38.321 [3];

2> else

3> the procedure ends;

NOTE 2a: The order in which the UE sends the *RRCReconfigurationComplete* message and performs the Random Access procedure towards the SCG is left to UE implementation.

1> else if the *RRCReconfiguration* message was received via SRB3:

2> submit the *RRCReconfigurationComplete* message via SRB3 to lower layers for transmission using the new configuration;

1> else(MCG RRCReconfiguration):

2> submit the *RRCReconfigurationComplete* message via SRB1 to lower layers for transmission using the new configuration;

2> if this is the first *RRCReconfiguration* message after successful completion of the RRC re-establishment procedure:

3> resume SRB2 and DRBs that are suspended;

1> if *reconfigurationWithSync* was included in *spCellConfig* of an MCG or SCG, and when MAC of an NR cell group successfully completes a Random Access procedure triggered above;

2> stop timer T304 for that cell group;

2> apply the parts of the CSI reporting configuration, the scheduling request configuration and the sounding RS configuration that do not require the UE to know the SFN of the respective target SpCell, if any;

2> apply the parts of the measurement and the radio resource configuration that require the UE to know the SFN of the respective target SpCell (e.g. measurement gaps, periodic CQI reporting, scheduling request configuration, sounding RS configuration), if any, upon acquiring the SFN of that target SpCell;

2> if the *reconfigurationWithSync* was included in *spCellConfig* of an MCG:

3> if T390 is running:

4> stop timer T390 for all access categories;

4> perform the actions as specified in 5.3.14.4.

3> if *RRCReconfiguration* does not include *dedicatedSIB1-Delivery* and

3> if the active downlink BWP, which is indicated by the *firstActiveDownlinkBWP-Id* for the target SpCell of the MCG, has a common search space configured by *searchSpaceSIB1*:

4> acquire the *SIB1*, which is scheduled as specified in TS 38.213 [13], of the target SpCell of the MCG;

4> upon acquiring *SIB1*, perform the actions specified in clause 5.2.2.4.2;

2> if *reconfigurationWithSync* was included in *masterCellGroup*; and

2> if the UE transmitted a *UEAssistanceInformation* message during the last 1 second, and the UE is still configured to provide UE assistance information:

3> initiate transmission of a *UEAssistanceInformation* message to re-send the UE assistance information that UE is still configured to provide with the same contents;

2> the procedure ends.

NOTE 3: The UE is only required to acquire broadcasted *SIB1* if the UE can acquire it without disrupting unicast data reception, i.e. the broadcast and unicast beams are quasi co-located.

---------------------------------------------START OF NEXT CHANGE---------------------------------------

#### 5.7.4.3 Actions related to transmission of *UEAssistanceInformation* message

The UE shall set the contents of the *UEAssistanceInformation* message as follows:

1> if transmission of the *UEAssistanceInformation* message is initiated to provide a delay budget report according to 5.7.4.2;

2> set *delayBudgetReport* to *type1* according to a desired value;

1> if transmission of the *UEAssistanceInformation* message is initiated to provide overheating assistance information according to 5.7.4.2;

2> if the UE experiences internal overheating:

3> if the UE prefers to temporarily reduce the number of maximum secondary component carriers:

4> include reducedMaxCCs in the OverheatingAssistance IE;

4> set reducedCCsDL to the number of maximum SCells the UE prefers to be temporarily configured in downlink;

4> set reducedCCsUL to the number of maximum SCells the UE prefers to be temporarily configured in uplink;

3> if the UE prefers to temporarily reduce maximum aggregated bandwidth of FR1:

4> include reducedMaxBW-FR1 in the OverheatingAssistance IE;

4> set reducedBW-FR1-DL to the maximum aggregated bandwidth the UE prefers to be temporarily configured across all downlink carriers of FR1;

4> set reducedBW-FR1-UL to the maximum aggregated bandwidth the UE prefers to be temporarily configured across all uplink carriers of FR1;

3> if the UE prefers to temporarily reduce maximum aggregated bandwidth of FR2:

4> include reducedMaxBW-FR2 in the OverheatingAssistance IE;

4> set reducedBW-FR2-DL to the maximum aggregated bandwidth the UE prefers to be temporarily configured across all downlink carriers of FR2;

4> set reducedBW-FR2-UL to the maximum aggregated bandwidth the UE prefers to be temporarily configured across all uplink carriers of FR2;

3> if the UE prefers to temporarily reduce the number of maximum MIMO layers of each serving cell operating on FR1:

4> include reducedMaxMIMO-LayersFR1 in the OverheatingAssistance IE;

4> set reducedMIMO-LayersFR1-DL to the number of maximum MIMO layers of each serving cell operating on FR1 the UE prefers to be temporarily configured in downlink;

4> set reducedMIMO-LayersFR1-UL to the number of maximum MIMO layers of each serving cell operating on FR1 the UE prefers to be temporarily configured in uplink;

3> if the UE prefers to temporarily reduce the number of maximum MIMO layers of each serving cell operating on FR2:

4> include reducedMaxMIMO-LayersFR2 in the OverheatingAssistance IE;

4> set reducedMIMO-LayersFR2-DL to the number of maximum MIMO layers of each serving cell operating on FR2 the UE prefers to be temporarily configured in downlink;

4> set reducedMIMO-LayersFR2-UL to the number of maximum MIMO layers of each serving cell operating on FR2 the UE prefers to be temporarily configured in uplink;

2> else (if the UE no longer experiences an overheating condition):

3> do not include reducedMaxCCs, reducedMaxBW-FR1, reducedMaxBW-FR2, reducedMaxMIMO-LayersFR1 and reducedMaxMIMO-LayersFR2 in OverheatingAssistance IE;

The UE shall submit the *UEAssistanceInformation* message to lower layers for transmission.

---------------------------------------------END OF CHANGE---------------------------------------------