**3GPP TSG-RAN4 Meeting #98bis-eR4-2105005**

**Online, 12 – 20 April, 2021**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.133** | **CR** |  | **rev** |  | **Current version:** | **16.7.0** |  |
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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 |  | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Draft CR on SCell activation requirement for NR-U R16 | | | | | | | | | |
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| ***Source to WG:*** | Apple | | | | | | | | | |
| ***Source to TSG:*** | R4 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_unlic-Core | | | | |  | ***Date:*** | | |  |
|  |  | | | |  | |  | | |  |
| ***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)* | |
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| ***Reason for change:*** | | The current SCell activation in NR-U is not correct. | | | | | | | | |
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| ***Summary of change:*** | | Proposal 1: when none of the RRC parameters CO-DurationPerCell-r16, SlotFormatIndicator, and CSI-RS-ValidationWith-DCI-r16 is configured to a UE, the existing delay requirement of SCell activation with CCA could apply after removing the L4 related extension definitions in CSI reporting delay. | | | | | | | | |
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| ***Consequences if not approved:*** | | The current SCell activation in NR-U is not correct. | | | | | | | | |
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| ***Clauses affected:*** | | Section 8.3A.2 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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 Change 1

### 8.3A.2 SCell Activation Delay Requirement for Deactivated SCell

The requirements in this clause shall apply for the UE configured with one downlink SCell operating with CCA in EN-DC or in standalone NR carrier aggregation and when one SCell operating with CCA is being activated but none of the RRC parameters *CO-DurationPerCell-r16*, *SlotFormatIndicator*, and *CSI-RS-ValidationWith-DCI-r16* is configured and all of the CSI reporting resources for being-activated SCell are available.

The delay within which the UE shall be able to activate the deactivated SCell depends upon the specified conditions.

Upon receiving SCell activation command in slot *n*, the UE shall be capable to transmit valid CSI report and apply actions related to the activation command for the SCell being activated no later than in slot n + (THARQ + Tactivation\_time\_withCCA + TCSI\_reporting\_withCCA)/*NR\_slot\_length*, where:

- THARQ (in ms) is the timing between DL data transmission and acknowledgement as specified in TS 38.213 [3]. In the event of UE not being able to transmit the acknowledgment due to UL CCA failures: THARQ is extended to also include the time to all next HARQ feedback transmission and retransmission opportunities, until the time of its successful transmission, as specified in TS 38.213 [3]; no extension of THARQ due to UL LBT failures is allowed for Type 2C UL channel access procedure as defined in TS 37.213 [57].

- Tactivation\_time\_withCCA is the SCell activation delay in millisecond.

- If the SCell is known, Tactivation\_time\_withCCA is:

- TFirstSSB + L1\*Trs + 5ms, if the SCell measurement cycle is equal to or smaller than 160ms.

- TFirstSSB\_MAX + L2,1\*TSMTC\_MAX + (1 +L2,2)\*Trs + 5ms, if the SCell measurement cycle is larger than 160ms.

- If the SCell is unknown, provided that the side condition Ês/Iot ≥ -2 dB is fulfilled and the SCell can be successfully detected in one attempt, Tactivation\_time\_withCCA is:

- TFirstSSB\_MAX + (1 + L3,1)\*TSMTC\_MAX + (2 + L3,2)\*Trs + 5ms.

Where,

TSMTC\_MAX:

- In case of intra-band SCell activation, TSMTC\_MAX is the longest SMTC periodicity between active serving cells and SCell being activated provided the cell specific reference signals from the active serving cells and the SCells being activated or released are available in the same slot;

- In case of inter-band SCell activation, TSMTC\_MAX is the SMTC periodicity of SCell being activated;

- TSMTC\_MAX is bounded to a minimum value of 10ms.

Trs is the SMTC periodicity of the SCell being activated if the UE has been provided with an SMTC configuration for the SCell in SCell addition message, 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 which involves Trs is applied with Trs = 5ms assuming the SSB transmission periodicity is 5ms. There are no requirements if the SSB transmission periodicity is not 5ms

TFirstSSB: is the time to the end of the first complete configured SSB burst indicated by the SMTC after slot n + (THARQ+3ms)/*NR\_slot\_length*

TFirstSSB\_MAX: is the time to the end of first complete configured SSB burst indicated by the SMTC after slot n + (THARQ+3ms)/*NR\_slot\_length* when all active serving cells and SCells being activated or released have configured SSB bursts in the same slot for intra-band scenario. In case of inter-band SCell activation, TFirstSSB\_MAX is the time to the end of the first complete configured SSB burst of the SCell being activated.

L1 (L1 ≤ L1,max) is the number of configured SMTC occasions not available at the UE. L1,max = 2 if Trs ≤ 40 ms; otherwise L1,max = 1.

L2,1 (L2,1 ≤ L2,1,max) and L3,1 (L3,1 ≤ L3,1,max) are the numbers of configured SMTC occasions not available at the UE, for a known and unknown SCell activation respectively,

in the SCell being activated, for inter-band scenario, or

in any of the SCells already activated or being activated provided their cell specific reference signals are configured in the same slot, for intra-band scenario

and L2,1,max = 2 if TSMTC\_MAX ≤ 40 ms; otherwise L2,1,max = 1. L3,1,max = 2 if TSMTC\_MAX ≤ 40 ms; otherwise L3,1,max = 1.

L2,2 (L2,2 ≤ L2,2,max) and L3,2 (L3,2 ≤ L3,2,max)are the number of configured SMTC occasions not available at the UE in the SCell being activated. L2,2,max = 2 if Trs ≤ 40 ms; otherwise L2,2,max = 1. L3,2,max = 2 if Trs ≤ 40 ms; otherwise L3,2,max = 1.

TCSI\_reporting\_withCCA = TCSI\_reporting + TCSI\_ReportingDelay , where

TCSI\_reporting is the delay (in ms) including uncertainty in acquiring the first available downlink CSI reference resource, UE processing time for CSI reporting and uncertainty in acquiring the first available CSI reporting resources as specified in TS 38.331 [2].

TCSI\_ReportingDelay is the additional delay in transmission of CSI reporting due to UL CCA failures at the UE. If there are no uplink resources for reporting the valid CSI, then the UE shall use the next available opportunities for reporting the corresponding valid CSI as specified in TS 38.213 [3].

Upon exceeding any of the maximum numbers L1,max, L2,1,max, L2,2,max, L3,1,max, and L3,2,max of SMTC occasions or CSI-RS occasions, respectively, not available at the UE, the UE shall abandon the SCell activation procedure.

SCell operating with CCA is known if it has been meeting the following conditions:

- During the period equal to max(5 measCycleSCell,  5 DRX cycles) before the reception of the SCell activation command:

- the UE has sent a valid measurement report for the SCell being activated and

- the SSB measured remains detectable in the SMTC occasions available at the UE, according to the cell identification conditions specified in clause 9.2A and 9.3A.

- the SSB measured during the period equal to max(5 measCycleSCell, 5 DRX cycles) also remains detectable - the SSB measured during the period equal to max(5 measCycleSCell, 5 DRX cycles) also remains detectable in the SMTC occasions available at the UE during the SCell activation delay according to the cell identification conditions specified in clause 9.2A and 9.3A.

Otherwise SCell operating with CCA is unknown.

If the UE has been provided with higher layer in TS 38.331 [2] signaling of *smtc2*prior to the activation command, TSMTC\_Scell follows *smtc1* or *smtc2* according to the physical cell ID of the target cell being activated. TSMTC\_MAX follows *smtc1* or *smtc2* according to the physical cell IDs of the target cells being activated and the active serving cells.

In addition to CSI reporting defined above, UE shall also apply other actions related to the activation command specified in TS 38.331 [2] for a SCell at the first opportunities for the corresponding actions once the SCell is activated.

For intra-band CA, the starting point of an interruption window on SpCell or any activated SCell as specified in clause 8.2, shall not occur before slot n+1+ and not occur after slot n+1+ , where TX is:

- TFirstSSB, for known SCell activation when SCell measurement cycle is equal to or smaller than 160ms;

- TFirstSSB\_MAX + L2,1\* TSMTC\_MAX for known SCell activation when SCell measurement cycle is greater than 160ms;

- TFirstSSB\_MAX + L3,1\* TSMTC\_MAX for unknown SCell activation

For inter-band CA, the starting point of an interruption window on SpCell or any activated SCell as specified in clause 8.2, shall not occur before slot n+1+ and not occur after slot n+1+ , where TX is:

- TFirstSSB, for known SCell activation when SCell measurement cycle is equal to, or smaller than, 160ms.

For intra-band CA, while the SCell being activated is known with measurement cycle equal to or smaller than 160ms, no more than one interruption window is allowed during SCell activation, and while the SCell being activated is unknown or known with measurement cycle greater than 160ms, up to 1+L interruption windows are allowed during SCell activation, where L = L2,1 for known SCell and L = L3,1  for unknown SCell. For a single interruption (L=0), interruption window length at SCell activation does not depend on DL CCA failures.

End of Change 1