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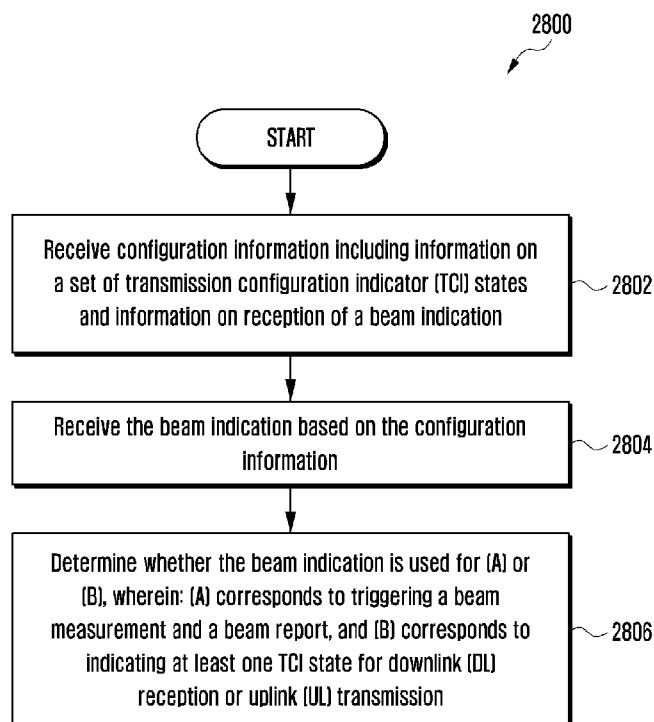
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(54) Title: METHOD AND APPARATUS FOR BEAM MANAGEMENT AND TRAINING



(57) Abstract: The present disclosure relates to a communication method and system for converging a 5th-Generation (5G) communication system for supporting higher data rates beyond a 4th-Generation (4G) system with a technology for Internet of Things (IoT). The present disclosure may be applied to intelligent services based on the 5G communication technology and the IoT-related technology, such as smart home, smart building, smart city, smart car, connected car, health care, digital education, smart retail, security and safety services. A method of a UE comprises receiving configuration information including information on a set of TCI states and information on reception of a beam indication; receiving the beam indication based on the configuration information; and determining whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for DL reception or UL transmission.

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## Description

### Title of Invention: METHOD AND APPARATUS FOR BEAM MANAGEMENT AND TRAINING

#### Technical Field

- [1] The present disclosure relates generally to wireless communication systems and more specifically for beam management and training.

#### Background Art

- [2] To meet the demand for wireless data traffic having increased since deployment of 4G communication systems, efforts have been made to develop an improved 5G or pre-5G communication system. Therefore, the 5G or pre-5G communication system is also called a 'Beyond 4G Network' or a 'Post LTE System'. The 5G communication system is considered to be implemented in higher frequency (mmWave) bands, e.g., 60GHz bands, so as to accomplish higher data rates. To decrease propagation loss of the radio waves and increase the transmission distance, the beamforming, massive multiple-input multiple-output (MIMO), Full Dimensional MIMO (FD-MIMO), array antenna, an analog beam forming, large scale antenna techniques are discussed in 5G communication systems. In addition, in 5G communication systems, development for system network improvement is under way based on advanced small cells, cloud Radio Access Networks (RANs), ultra-dense networks, device-to-device (D2D) communication, wireless backhaul, moving network, cooperative communication, Co-ordinated Multi-Points (CoMP), reception-end interference cancellation and the like. In the 5G system, Hybrid FSK and QAM Modulation (FQAM) and sliding window superposition coding (SWSC) as an advanced coding modulation (ACM), and filter bank multi carrier (FBMC), non-orthogonal multiple access(NOMA), and sparse code multiple access (SCMA) as an advanced access technology have been developed.
- [3] The Internet, which is a human centered connectivity network where humans generate and consume information, is now evolving to the Internet of Things (IoT) where distributed entities, such as things, exchange and process information without human intervention. The Internet of Everything (IoE), which is a combination of the IoT technology and the Big Data processing technology through connection with a cloud server, has emerged. As technology elements, such as "sensing technology", "wired/wireless communication and network infrastructure", "service interface technology", and "Security technology" have been demanded for IoT implementation, a sensor network, a Machine-to-Machine (M2M) communication, Machine Type Communication (MTC), and so forth have been recently researched. Such an IoT environment may provide intelligent Internet technology services that create a new value

to human life by collecting and analyzing data generated among connected things. IoT may be applied to a variety of fields including smart home, smart building, smart city, smart car or connected cars, smart grid, health care, smart appliances and advanced medical services through convergence and combination between existing Information Technology (IT) and various industrial applications.

- [4] In line with this, various attempts have been made to apply 5G communication systems to IoT networks. For example, technologies such as a sensor network, Machine Type Communication (MTC), and Machine-to-Machine (M2M) communication may be implemented by beamforming, MIMO, and array antennas. Application of a cloud Radio Access Network (RAN) as the above-described Big Data processing technology may also be considered to be as an example of convergence between the 5G technology and the IoT technology.
- [5] Understanding and correctly estimating the channel between a user equipment (UE) and a gNode B (gNB) is important for efficient and effective wireless communication.

## **Disclosure of Invention**

### **Technical Problem**

- [6] Understanding and correctly estimating the channel between a user equipment (UE) and a gNode B (gNB) is important for efficient and effective wireless communication. In order to correctly estimate the downlink (DL) channel conditions, the gNB may transmit a reference signal, e.g., CSI-RS, to the UE for DL channel measurement, and the UE may report (e.g., feedback) information about channel measurement, e.g., CSI, to the gNB. Likewise, for uplink (UL), the UE may transmit reference signal, e.g., SRS, to the gNB for UL channel measurement. With the DL and UL channel measurements, the gNB is able to select appropriate communication parameters to efficiently and effectively perform wireless data communication with the UE. For a millimeter wave communication systems, the reference signal can correspond to a spatial beam, and the CSI can correspond to a beam report which indicates a preferred spatial beam for communication. In such beamformed systems, a beam indication mechanism is needed in order to align the spatial beams at both gNB and UE.

### **Solution to Problem**

- [7] Embodiments of the present disclosure provide methods and apparatuses to enable beam management and training in a wireless communication system.
- [8] In one embodiment, a UE is provided. The UE comprises a transceiver configured to receive configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication; and receive the beam indication based on the configuration information. The UE further includes a processor coupled to the transceiver. The processor is configured to

determine whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission.

- [9] In another embodiment, a BS in a wireless communication system is provided. The BS includes a processor configured to generate configuration information including information on a set of TCI states and information on a beam indication; and generate the beam indication, wherein the information on the beam indication indicates whether the beam indication is for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) transmission or uplink (UL) reception. The BS further includes a transceiver coupled to the processor. The transceiver is configured to transmit the configuration information; and transmit the beam indication.
- [10] In yet another embodiment, a method for operating a UE is provided. The method comprises receiving configuration information including information on a set of TCI states and information on reception of a beam indication; receiving the beam indication based on the configuration information; and determining whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission.
- [11] Other technical features may be readily apparent to one skilled in the art from the following figures, descriptions, and claims.

### **Advantageous Effects of Invention**

- [12] A method and apparatus for beam management and training are provided according to the present disclosure.

### **Brief Description of Drawings**

- [13] For a more complete understanding of the present disclosure and its advantages, reference is now made to the following description taken in conjunction with the accompanying drawings, in which like reference numerals represent like parts:
- [14] FIGURE 1 illustrates an example wireless network according to embodiments of the present disclosure;
- [15] FIGURE 2 illustrates an example gNB according to embodiments of the present disclosure;
- [16] FIGURE 3 illustrates an example UE according to embodiments of the present disclosure;
- [17] FIGURE 4A illustrates a high-level diagram of an orthogonal frequency division multiple access transmit path according to embodiments of the present disclosure;

- [18] FIGURE 4B illustrates a high-level diagram of an orthogonal frequency division multiple access receive path according to embodiments of the present disclosure;
- [19] FIGURE 5 illustrates a transmitter block diagram for a PDSCH in a subframe according to embodiments of the present disclosure;
- [20] FIGURE 6 illustrates a receiver block diagram for a PDSCH in a subframe according to embodiments of the present disclosure;
- [21] FIGURE 7 illustrates a transmitter block diagram for a PUSCH in a subframe according to embodiments of the present disclosure;
- [22] FIGURE 8 illustrates a receiver block diagram for a PUSCH in a subframe according to embodiments of the present disclosure;
- [23] FIGURE 9 illustrates an example of antenna arrays capable of forming spatial beams according to embodiments of the present disclosure;
- [24] FIGURE 10 illustrates an uplink multi-beam operation according to embodiments of the present disclosure;
- [25] FIGURE 11 illustrates an uplink multi-beam operation according to embodiments of the present disclosure;
- [26] FIGURE 12 illustrates a downlink multi-beam operation according to embodiments of the present disclosure;
- [27] FIGURE 13 illustrates examples of beam reports and TCI states according to embodiments of the present disclosure;
- [28] FIGURE 14 illustrates beam indication mechanisms according to embodiments of the present disclosure;
- [29] FIGURE 15 illustrates beam indication mechanisms according to embodiments of the present disclosure;
- [30] FIGURE 16 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot according to embodiments of the present disclosure;
- [31] FIGURE 17 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the indication or configuration in a prior slot according to embodiments of the present disclosure;
- [32] FIGURE 18 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot according to embodiments of the present disclosure;
- [33] FIGURE 19 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the indication or configuration in a prior slot according to embodiments of the present disclosure;
- [34] FIGURE 20 illustrates an example of determining and measuring a subset of  $K'$

reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot according to embodiments of the present disclosure;

[35] FIGURE 21 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the indication or configuration in a prior slot according to embodiments of the present disclosure;

[36] FIGURE 22 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot according to embodiments of the present disclosure;

[37] FIGURE 23 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the indication or configuration in a prior slot according to embodiments of the present disclosure;

[38] FIGURE 24 illustrates an example of a dedicated DCI indicating the common beam for the reception of DL control and data according to embodiments of the present disclosure;

[39] FIGURE 25 illustrates an example of a dedicated DCI indicating the common beam for the transmission of UL control and data according to embodiments of the present disclosure;

[40] FIGURE 26 illustrates an example of a dedicated DCI indicating the common beam for all DL and UL channels according to embodiments of the present disclosure;

[41] FIGURE 27 illustrates an example of a UE configured with at least two CCs for DL reception according to embodiments of the present disclosure;

[42] FIGURE 28 illustrates a flow chart of a method for operating a user equipment (UE) according to embodiments of the present disclosure; and

[43] FIGURE 29 illustrates a flow chart of another method as may be performed by a BS, according to embodiments of the present disclosure.

### **Mode for the Invention**

[44] Before undertaking the DETAILED DESCRIPTION below, it may be advantageous to set forth definitions of certain words and phrases used throughout this patent document. The term "couple" and its derivatives refer to any direct or indirect communication between two or more elements, whether or not those elements are in physical contact with one another. The terms "transmit," "receive," and "communicate," as well as derivatives thereof, encompass both direct and indirect communication. The terms "include" and "comprise," as well as derivatives thereof, mean inclusion without limitation. The term "or" is inclusive, meaning and/or. The phrase "associated with," as well as derivatives thereof, means to include, be included within, interconnect with, contain, be contained within, connect to or with, couple to or with, be communicable with, cooperate with, interleave, juxtapose, be proximate to, be bound to or with, have,

have a property of, have a relationship to or with, or the like. The term "controller" means any device, system or part thereof that controls at least one operation. Such a controller may be implemented in hardware or a combination of hardware and software and/or firmware. The functionality associated with any particular controller may be centralized or distributed, whether locally or remotely. The phrase "at least one of," when used with a list of items, means that different combinations of one or more of the listed items may be used, and only one item in the list may be needed. For example, "at least one of: A, B, and C" includes any of the following combinations: A, B, C, A and B, A and C, B and C, and A and B and C.

- [45] Moreover, various functions described below can be implemented or supported by one or more computer programs, each of which is formed from computer readable program code and embodied in a computer readable medium. The terms "application" and "program" refer to one or more computer programs, software components, sets of instructions, procedures, functions, objects, classes, instances, related data, or a portion thereof adapted for implementation in a suitable computer readable program code. The phrase "computer readable program code" includes any type of computer code, including source code, object code, and executable code. The phrase "computer readable medium" includes any type of medium capable of being accessed by a computer, such as read only memory (ROM), random access memory (RAM), a hard disk drive, a compact disc (CD), a digital video disc (DVD), or any other type of memory. A "non-transitory" computer readable medium excludes wired, wireless, optical, or other communication links that transport transitory electrical or other signals. A non-transitory computer readable medium includes media where data can be permanently stored and media where data can be stored and later overwritten, such as a rewritable optical disc or an erasable memory device.
- [46] Definitions for other certain words and phrases are provided throughout this patent document. Those of ordinary skill in the art should understand that in many if not most instances, such definitions apply to prior as well as future uses of such defined words and phrases.
- [47] FIGURE 1 through FIGURE 29, discussed below, and the various embodiments used to describe the principles of the present disclosure in this patent document are by way of illustration only and should not be construed in any way to limit the scope of the disclosure. Those skilled in the art will understand that the principles of the present disclosure may be implemented in any suitably arranged system or device.
- [48] The following documents and standards descriptions are hereby incorporated by reference into the present disclosure as if fully set forth herein: 3GPP TS 36.211 v16.5.0, "E-UTRA, Physical channels and modulation" (herein "REF 1"); 3GPP TS 36.212 v16.5.0, "E-UTRA, Multiplexing and Channel coding" (herein "REF 2"); 3GPP

TS 36.213 v16.5.0, "E-UTRA, Physical Layer Procedures" (herein "REF 3"); 3GPP TS 36.321 v16.4.0, "E-UTRA, Medium Access Control (MAC) protocol specification" (herein "REF 4"); 3GPP TS 36.331 v16.4.0, "E-UTRA, Radio Resource Control (RRC) protocol specification" (herein "REF 5"); 3GPP TS 38.211 v16.5.0, "NR, Physical channels and modulation" (herein "REF 6"); 3GPP TS 38.212 v16.5.0, "NR, Multiplexing and Channel coding" (herein "REF 7"); 3GPP TS 38.213 v16.4.0, "NR, Physical Layer Procedures for Control" (herein "REF 8"); 3GPP TS 38.214 v16.4.0, "NR, Physical Layer Procedures for Data" (herein "REF 9"); 3GPP TS 38.215 v16.4.0, "NR, Physical Layer Measurements" (herein "REF 10"); 3GPP TS 38.321 v16.4.0, "NR, Medium Access Control (MAC) protocol specification" (herein "REF 11"); and 3GPP TS 38.331 v16.4.1, "NR, Radio Resource Control (RRC) Protocol Specification" (herein "REF 12").

- [49] Aspects, features, and advantages of the disclosure are readily apparent from the following detailed description, simply by illustrating a number of particular embodiments and implementations, including the best mode contemplated for carrying out the disclosure. The disclosure is also capable of other and different embodiments, and its several details can be modified in various obvious respects, all without departing from the spirit and scope of the disclosure. Accordingly, the drawings and description are to be regarded as illustrative in nature, and not as restrictive. The disclosure is illustrated by way of example, and not by way of limitation, in the figures of the accompanying drawings.
- [50] In the following, for brevity, both FDD and TDD are considered as the duplex method for both DL and UL signaling.
- [51] Although exemplary descriptions and embodiments to follow assume orthogonal frequency division multiplexing (OFDM) or orthogonal frequency division multiple access (OFDMA), the present disclosure can be extended to other OFDM-based transmission waveforms or multiple access schemes such as filtered OFDM (F-OFDM).
- [52] To meet the demand for wireless data traffic having increased since deployment of 4G communication systems, efforts have been made to develop an improved 5G or pre-5G communication system. Therefore, the 5G or pre-5G communication system is also called a "beyond 4G network" or a "post LTE system."
- [53] The 5G communication system is considered to be implemented in higher frequency (mmWave) bands, e.g., 60GHz bands, so as to accomplish higher data rates. To decrease propagation loss of the radio waves and increase the transmission coverage, the beamforming, massive multiple-input multiple-output (MIMO), full dimensional MIMO (FD-MIMO), array antenna, an analog beam forming, large scale antenna techniques and the like are discussed in 5G communication systems.

- [54] In addition, in 5G communication systems, development for system network improvement is under way based on advanced small cells, cloud radio access networks (RANs), ultra-dense networks, device-to-device (D2D) communication, wireless backhaul communication, moving network, cooperative communication, coordinated multi-points (CoMP) transmission and reception, interference mitigation and cancellation and the like.
- [55] The discussion of 5G systems and frequency bands associated therewith is for reference as certain embodiments of the present disclosure may be implemented in 5G systems. However, the present disclosure is not limited to 5G systems or the frequency bands associated therewith, and embodiments of the present disclosure may be utilized in connection with any frequency band.
- [56] FIGURES 1-4B below describe various embodiments implemented in wireless communications systems and with the use of orthogonal frequency division multiplexing (OFDM) or orthogonal frequency division multiple access (OFDMA) communication techniques. The descriptions of FIGURES 1-3 are not meant to imply physical or architectural limitations to the manner in which different embodiments may be implemented. Different embodiments of the present disclosure may be implemented in any suitably-arranged communications system. The present disclosure covers several components which can be used in conjunction or in combination with one another or can operate as standalone schemes.
- [57] FIGURE 1 illustrates an example wireless network according to embodiments of the present disclosure. The embodiment of the wireless network shown in FIGURE 1 is for illustration only. Other embodiments of the wireless network 100 could be used without departing from the scope of this disclosure.
- [58] As shown in FIGURE 1, the wireless network includes a gNB 101, a gNB 102, and a gNB 103. The gNB 101 communicates with the gNB 102 and the gNB 103. The gNB 101 also communicates with at least one network 130, such as the Internet, a proprietary Internet Protocol (IP) network, or other data network.
- [59] The gNB 102 provides wireless broadband access to the network 130 for a first plurality of user equipments (UEs) within a coverage area 120 of the gNB 102. The first plurality of UEs includes a UE 111, which may be located in a small business; a UE 112, which may be located in an enterprise (E); a UE 113, which may be located in a WiFi hotspot (HS); a UE 114, which may be located in a first residence (R); a UE 115, which may be located in a second residence (R); and a UE 116, which may be a mobile device (M), such as a cell phone, a wireless laptop, a wireless PDA, or the like. The gNB 103 provides wireless broadband access to the network 130 for a second plurality of UEs within a coverage area 125 of the gNB 103. The second plurality of UEs includes the UE 115 and the UE 116. In some embodiments, one or more of the

gNBs 101-103 may communicate with each other and with the UEs 111-116 using 5G, LTE, LTE-A, WiMAX, WiFi, or other wireless communication techniques.

- [60] Depending on the network type, the term "base station" or "BS" can refer to any component (or collection of components) configured to provide wireless access to a network, such as transmit point (TP), transmit-receive point (TRP), an enhanced base station (eNodeB or eNB), a 5G base station (gNB), a macrocell, a femtocell, a WiFi access point (AP), or other wirelessly enabled devices. Base stations may provide wireless access in accordance with one or more wireless communication protocols, e.g., 5G 3GPP new radio interface/access (NR), long term evolution (LTE), LTE advanced (LTE-A), high speed packet access (HSPA), Wi-Fi 802.11a/b/g/n/ac, etc. For the sake of convenience, the terms "BS" and "TRP" are used interchangeably in this patent document to refer to network infrastructure components that provide wireless access to remote terminals. Also, depending on the network type, the term "user equipment" or "UE" can refer to any component such as "mobile station," "subscriber station," "remote terminal," "wireless terminal," "receive point," or "user device." For the sake of convenience, the terms "user equipment" and "UE" are used in this patent document to refer to remote wireless equipment that wirelessly accesses a BS, whether the UE is a mobile device (such as a mobile telephone or smartphone) or is normally considered a stationary device (such as a desktop computer or vending machine).
- [61] Dotted lines show the approximate extents of the coverage areas 120 and 125, which are shown as approximately circular for the purposes of illustration and explanation only. It should be clearly understood that the coverage areas associated with gNBs, such as the coverage areas 120 and 125, may have other shapes, including irregular shapes, depending upon the configuration of the gNBs and variations in the radio environment associated with natural and man-made obstructions.
- [62] As described in more detail below, one or more of the UEs 111-116 include circuitry, programing, or a combination thereof, for receiving configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication; receiving the beam indication based on the configuration information; and determining whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission. One or more of the gNBs 101-103 includes circuitry, programing, or a combination thereof, for generating configuration information including information on a set of transmission configuration indicator (TCI) states and information on a beam indication; generating the beam indication, wherein the information on the beam indication indicates whether the beam indication is for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report,

and (B) corresponds to indicating at least one TCI state for downlink (DL) transmission or uplink (UL) reception; transmitting the configuration information; and transmitting the beam indication.

- [63] Although FIGURE 1 illustrates one example of a wireless network, various changes may be made to FIGURE 1. For example, the wireless network could include any number of gNBs and any number of UEs in any suitable arrangement. Also, the gNB 101 could communicate directly with any number of UEs and provide those UEs with wireless broadband access to the network 130. Similarly, each gNB 102-103 could communicate directly with the network 130 and provide UEs with direct wireless broadband access to the network 130. Further, the gNBs 101, 102, and/or 103 could provide access to other or additional external networks, such as external telephone networks or other types of data networks.
- [64] FIGURE 2 illustrates an example gNB 102 according to embodiments of the present disclosure. The embodiment of the gNB 102 illustrated in FIGURE 2 is for illustration only, and the gNBs 101 and 103 of FIGURE 1 could have the same or similar configuration. However, gNBs come in a wide variety of configurations, and FIGURE 2 does not limit the scope of this disclosure to any particular implementation of a gNB.
- [65] As shown in FIGURE 2, the gNB 102 includes multiple antennas 205a-205n, multiple RF transceivers 210a-210n, transmit (TX) processing circuitry 215, and receive (RX) processing circuitry 220. The gNB 102 also includes a controller/processor 225, a memory 230, and a backhaul or network interface 235.
- [66] The RF transceivers 210a-210n receive, from the antennas 205a-205n, incoming RF signals, such as signals transmitted by UEs in the network 100. The RF transceivers 210a-210n down-convert the incoming RF signals to generate IF or baseband signals. The IF or baseband signals are sent to the RX processing circuitry 220, which generates processed baseband signals by filtering, decoding, and/or digitizing the baseband or IF signals. The RX processing circuitry 220 transmits the processed baseband signals to the controller/processor 225 for further processing.
- [67] The TX processing circuitry 215 receives analog or digital data (such as voice data, web data, e-mail, or interactive video game data) from the controller/processor 225. The TX processing circuitry 215 encodes, multiplexes, and/or digitizes the outgoing baseband data to generate processed baseband or IF signals. The RF transceivers 210a-210n receive the outgoing processed baseband or IF signals from the TX processing circuitry 215 and up-converts the baseband or IF signals to RF signals that are transmitted via the antennas 205a-205n.
- [68] The controller/processor 225 can include one or more processors or other processing devices that control the overall operation of the gNB 102. For example, the controller/processor 225 could control the reception of forward channel signals and the

transmission of reverse channel signals by the RF transceivers 210a-210n, the RX processing circuitry 220, and the TX processing circuitry 215 in accordance with well-known principles. The controller/processor 225 could support additional functions as well, such as more advanced wireless communication functions.

[69] For instance, the controller/processor 225 could support beam forming or directional routing operations in which outgoing signals from multiple antennas 205a-205n are weighted differently to effectively steer the outgoing signals in a desired direction. Any of a wide variety of other functions could be supported in the gNB 102 by the controller/processor 225.

[70] The controller/processor 225 is also capable of executing programs and other processes resident in the memory 230, such as an OS. The controller/processor 225 can move data into or out of the memory 230 as required by an executing process.

[71] The controller/processor 225 is also coupled to the backhaul or network interface 235. The backhaul or network interface 235 allows the gNB 102 to communicate with other devices or systems over a backhaul connection or over a network. The interface 235 could support communications over any suitable wired or wireless connection(s). For example, when the gNB 102 is implemented as part of a cellular communication system (such as one supporting 5G, LTE, or LTE-A), the interface 235 could allow the gNB 102 to communicate with other gNBs over a wired or wireless backhaul connection. When the gNB 102 is implemented as an access point, the interface 235 could allow the gNB 102 to communicate over a wired or wireless local area network or over a wired or wireless connection to a larger network (such as the Internet). The interface 235 includes any suitable structure supporting communications over a wired or wireless connection, such as an Ethernet or RF transceiver.

[72] The memory 230 is coupled to the controller/processor 225. Part of the memory 230 could include a RAM, and another part of the memory 230 could include a Flash memory or other ROM.

[73] Although FIGURE 2 illustrates one example of gNB 102, various changes may be made to FIGURE 2. For example, the gNB 102 could include any number of each component shown in FIGURE 2. As a particular example, an access point could include a number of interfaces 235, and the controller/processor 225 could support routing functions to route data between different network addresses. As another particular example, while shown as including a single instance of TX processing circuitry 215 and a single instance of RX processing circuitry 220, the gNB 102 could include multiple instances of each (such as one per RF transceiver). Also, various components in FIGURE 2 could be combined, further subdivided, or omitted and additional components could be added according to particular needs.

[74] FIGURE 3 illustrates an example UE 116 according to embodiments of the present

disclosure. The embodiment of the UE 116 illustrated in FIGURE 3 is for illustration only, and the UEs 111-115 of FIGURE 1 could have the same or similar configuration. However, UEs come in a wide variety of configurations, and FIGURE 3 does not limit the scope of this disclosure to any particular implementation of a UE.

- [75] As shown in FIGURE 3, the UE 116 includes an antenna 305, a radio frequency (RF) transceiver 310, TX processing circuitry 315, a microphone 320, and receive (RX) processing circuitry 325. The UE 116 also includes a speaker 330, a processor 340, an input/output (I/O) interface (IF) 345, a touchscreen 350, a display 355, and a memory 360. The memory 360 includes an operating system (OS) 361 and one or more applications 362.
- [76] The RF transceiver 310 receives, from the antenna 305, an incoming RF signal transmitted by a gNB of the network 100. The RF transceiver 310 down-converts the incoming RF signal to generate an intermediate frequency (IF) or baseband signal. The IF or baseband signal is sent to the RX processing circuitry 325, which generates a processed baseband signal by filtering, decoding, and/or digitizing the baseband or IF signal. The RX processing circuitry 325 transmits the processed baseband signal to the speaker 330 (such as for voice data) or to the processor 340 for further processing (such as for web browsing data).
- [77] The TX processing circuitry 315 receives analog or digital voice data from the microphone 320 or other outgoing baseband data (such as web data, e-mail, or interactive video game data) from the processor 340. The TX processing circuitry 315 encodes, multiplexes, and/or digitizes the outgoing baseband data to generate a processed baseband or IF signal. The RF transceiver 310 receives the outgoing processed baseband or IF signal from the TX processing circuitry 315 and up-converts the baseband or IF signal to an RF signal that is transmitted via the antenna 305.
- [78] The processor 340 can include one or more processors or other processing devices and execute the OS 361 stored in the memory 360 in order to control the overall operation of the UE 116. For example, the processor 340 could control the reception of forward channel signals and the transmission of reverse channel signals by the RF transceiver 310, the RX processing circuitry 325, and the TX processing circuitry 315 in accordance with well-known principles. In some embodiments, the processor 340 includes at least one microprocessor or microcontroller.
- [79] The processor 340 is also capable of executing other processes and programs resident in the memory 360, such as processes for receiving configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication; receiving the beam indication based on the configuration information; and determining whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam

report, and (B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission. The processor 340 can move data into or out of the memory 360 as required by an executing process. In some embodiments, the processor 340 is configured to execute the applications 362 based on the OS 361 or in response to signals received from gNBs or an operator. The processor 340 is also coupled to the I/O interface 345, which provides the UE 116 with the ability to connect to other devices, such as laptop computers and handheld computers. The I/O interface 345 is the communication path between these accessories and the processor 340.

[80] The processor 340 is also coupled to the touchscreen 350 and the display 355. The operator of the UE 116 can use the touchscreen 350 to enter data into the UE 116. The display 355 may be a liquid crystal display, light emitting diode display, or other display capable of rendering text and/or at least limited graphics, such as from web sites.

[81] The memory 360 is coupled to the processor 340. Part of the memory 360 could include a random access memory (RAM), and another part of the memory 360 could include a Flash memory or other read-only memory (ROM).

[82] Although FIGURE 3 illustrates one example of UE 116, various changes may be made to FIGURE 3. For example, various components in FIGURE 3 could be combined, further subdivided, or omitted and additional components could be added according to particular needs. As a particular example, the processor 340 could be divided into multiple processors, such as one or more central processing units (CPUs) and one or more graphics processing units (GPUs). Also, while FIGURE 3 illustrates the UE 116 configured as a mobile telephone or smartphone, UEs could be configured to operate as other types of mobile or stationary devices.

[83] FIGURE 4A is a high-level diagram of transmit path circuitry. For example, the transmit path circuitry may be used for an orthogonal frequency division multiple access (OFDMA) communication. FIGURE 4B is a high-level diagram of receive path circuitry. For example, the receive path circuitry may be used for an orthogonal frequency division multiple access (OFDMA) communication. In FIGURES 4A and 4B, for downlink communication, the transmit path circuitry may be implemented in a base station (gNB) 102 or a relay station, and the receive path circuitry may be implemented in a user equipment (e.g., user equipment 116 of FIGURE 1). In other examples, for uplink communication, the receive path circuitry 450 may be implemented in a base station (e.g., gNB 102 of FIGURE 1) or a relay station, and the transmit path circuitry may be implemented in a user equipment (e.g., user equipment 116 of FIGURE 1).

[84] Transmit path circuitry comprises channel coding and modulation block 405, serial-to-parallel (S-to-P) block 410, Size N Inverse Fast Fourier Transform (IFFT) block

415, parallel-to-serial (P-to-S) block 420, add cyclic prefix block 425, and up-converter (UC) 430. Receive path circuitry 450 comprises down-converter (DC) 455, remove cyclic prefix block 460, serial-to-parallel (S-to-P) block 465, Size N Fast Fourier Transform (FFT) block 470, parallel-to-serial (P-to-S) block 475, and channel decoding and demodulation block 480.

- [85] At least some of the components in FIGURES 4A 400 and 4B 450 may be implemented in software, while other components may be implemented by configurable hardware or a mixture of software and configurable hardware. In particular, it is noted that the FFT blocks and the IFFT blocks described in this disclosure document may be implemented as configurable software algorithms, where the value of Size N may be modified according to the implementation.
- [86] Furthermore, although this disclosure is directed to an embodiment that implements the Fast Fourier Transform and the Inverse Fast Fourier Transform, this is by way of illustration only and may not be construed to limit the scope of the disclosure. It may be appreciated that in an alternate embodiment of the present disclosure, the Fast Fourier Transform functions and the Inverse Fast Fourier Transform functions may easily be replaced by discrete Fourier transform (DFT) functions and inverse discrete Fourier transform (IDFT) functions, respectively. It may be appreciated that for DFT and IDFT functions, the value of the N variable may be any integer number (i.e., 1, 4, 3, 4, etc.), while for FFT and IFFT functions, the value of the N variable may be any integer number that is a power of two (i.e., 1, 2, 4, 8, 16, etc.).
- [87] In transmit path circuitry 400, channel coding and modulation block 405 receives a set of information bits, applies coding (e.g., LDPC coding) and modulates (e.g., quadrature phase shift keying (QPSK) or quadrature amplitude modulation (QAM)) the input bits to produce a sequence of frequency-domain modulation symbols. Serial-to-parallel block 410 converts (i.e., de-multiplexes) the serial modulated symbols to parallel data to produce N parallel symbol streams where N is the IFFT/FFT size used in BS 102 and UE 116. Size N IFFT block 415 then performs an IFFT operation on the N parallel symbol streams to produce time-domain output signals. Parallel-to-serial block 420 converts (i.e., multiplexes) the parallel time-domain output symbols from Size N IFFT block 415 to produce a serial time-domain signal. Add cyclic prefix block 425 then inserts a cyclic prefix to the time-domain signal. Finally, up-converter 430 modulates (i.e., up-converts) the output of add cyclic prefix block 425 to RF frequency for transmission via a wireless channel. The signal may also be filtered at baseband before conversion to RF frequency.
- [88] The transmitted RF signal arrives at the UE 116 after passing through the wireless channel, and reverse operations to those at gNB 102 are performed. Down-converter 455 down-converts the received signal to baseband frequency and remove cyclic prefix

block 460 removes the cyclic prefix to produce the serial time-domain baseband signal. Serial-to-parallel block 465 converts the time-domain baseband signal to parallel time-domain signals. Size N FFT block 470 then performs an FFT algorithm to produce N parallel frequency-domain signals. Parallel-to-serial block 475 converts the parallel frequency-domain signals to a sequence of modulated data symbols. Channel decoding and demodulation block 480 demodulates and then decodes the modulated symbols to recover the original input data stream.

- [89] Each of gNBs 101-103 may implement a transmit path that is analogous to transmitting in the downlink to user equipment 111-116 and may implement a receive path that is analogous to receiving in the uplink from user equipment 111-116. Similarly, each one of user equipment 111-116 may implement a transmit path corresponding to the architecture for transmitting in the uplink to gNBs 101-103 and may implement a receive path corresponding to the architecture for receiving in the downlink from gNBs 101-103.
- [90] The 5G communication system use cases have been identified and described. Those use cases can be roughly categorized into three different groups. In one example, enhanced mobile broadband (eMBB) is determined to do with high bits/sec requirement, with less stringent latency and reliability requirements. In another example, ultra-reliable and low latency (URLL) is determined with less stringent bits/sec requirement. In yet another example, massive machine type communication (mMTC) is determined that a number of devices can be as many as 100,000 to 1 million per km<sup>2</sup>, but the reliability/throughput/latency requirement could be less stringent. This scenario may also involve power efficiency requirement as well, in that the battery consumption may be minimized as possible.
- [91] A communication system includes a downlink (DL) that conveys signals from transmission points such as base stations (BSs) or NodeBs to user equipments (UEs) and an Uplink (UL) that conveys signals from UEs to reception points such as NodeBs. A UE, also commonly referred to as a terminal or a mobile station, may be fixed or mobile and may be a cellular phone, a personal computer device, or an automated device. An eNodeB, which is generally a fixed station, may also be referred to as an access point or other equivalent terminology. For LTE systems, a NodeB is often referred as an eNodeB.
- [92] In a communication system, such as LTE system, DL signals can include data signals conveying information content, control signals conveying DL control information (DCI), and reference signals (RS) that are also known as pilot signals. An eNodeB transmits data information through a physical DL shared channel (PDSCH). An eNodeB transmits DCI through a physical DL control channel (PDCCH) or an Enhanced PDCCH (EPDCCH).

- [93] An eNodeB transmits acknowledgement information in response to data transport block (TB) transmission from a UE in a physical hybrid ARQ indicator channel (PHICH). An eNodeB transmits one or more of multiple types of RS including a UE-common RS (CRS), a channel state information RS (CSI-RS), or a demodulation RS (DMRS). A CRS is transmitted over a DL system bandwidth (BW) and can be used by UEs to obtain a channel estimate to demodulate data or control information or to perform measurements. To reduce CRS overhead, an eNodeB may transmit a CSI-RS with a smaller density in the time and/or frequency domain than a CRS. DMRS can be transmitted only in the BW of a respective PDSCH or EPDCCH and a UE can use the DMRS to demodulate data or control information in a PDSCH or an EPDCCH, respectively. A transmission time interval for DL channels is referred to as a subframe and can have, for example, duration of 1 millisecond.
- [94] DL signals also include transmission of a logical channel that carries system control information. A BCCH is mapped to either a transport channel referred to as a broadcast channel (BCH) when the DL signals convey a master information block (MIB) or to a DL shared channel (DL-SCH) when the DL signals convey a System Information Block (SIB). Most system information is included in different SIBs that are transmitted using DL-SCH. A presence of system information on a DL-SCH in a subframe can be indicated by a transmission of a corresponding PDCCH conveying a codeword with a cyclic redundancy check (CRC) scrambled with system information RNTI (SI-RNTI). Alternatively, scheduling information for a SIB transmission can be provided in an earlier SIB and scheduling information for the first SIB (SIB-1) can be provided by the MIB.
- [95] DL resource allocation is performed in a unit of subframe and a group of physical resource blocks (PRBs). A transmission BW includes frequency resource units referred to as resource blocks (RBs). Each RB includes  $N_{sc}^{RB}$  sub-carriers, or resource elements (REs), such as 12 REs. A unit of one RB over one subframe is referred to as a PRB. A UE can be allocated  $M_{PDSCH}$  RBs for a total of  $M_{sc}^{PDSCH} = M_{PDSCH} \cdot N_{sc}^{RB}$  REs for the PDSCH transmission BW.
- [96] UL signals can include data signals conveying data information, control signals conveying UL control information (UCI), and UL RS. UL RS includes DMRS and Sounding RS (SRS). A UE transmits DMRS only in a BW of a respective PUSCH or PUCCH. An eNodeB can use a DMRS to demodulate data signals or UCI signals. A UE transmits SRS to provide an eNodeB with an UL CSI. A UE transmits data information or UCI through a respective physical UL shared channel (PUSCH) or a Physical UL control channel (PUCCH). If a UE needs to transmit data information and UCI in a same UL subframe, the UE may multiplex both in a PUSCH. UCI includes

Hybrid Automatic Repeat request acknowledgement (HARQ-ACK) information, indicating correct (ACK) or incorrect (NACK) detection for a data TB in a PDSCH or absence of a PDCCH detection (DTX), scheduling request (SR) indicating whether a UE has data in the UE's buffer, rank indicator (RI), and channel state information (CSI) enabling an eNodeB to perform link adaptation for PDSCH transmissions to a UE. HARQ-ACK information is also transmitted by a UE in response to a detection of a PDCCH/EPDCCH indicating a release of semi-persistently scheduled PDSCH.

[97] An UL subframe includes two slots. Each slot includes  $N_{symbol}^{UL}$  symbols for transmitting data information, UCI, DMRS, or SRS. A frequency resource unit of an UL system BW is a RB. A UE is allocated  $N_{RB}$  RBs for a total of  $N_{RB} \cdot N_{sc}^{RB}$  REs for a transmission BW. For a PUCCH,  $N_{RB} = 1$ . A last subframe symbol can be used to multiplex SRS transmissions from one or more UEs. A number of subframe symbols that are available for data/UCI/DMRS transmission is  $N_{symbol} = 2 \cdot (N_{symbol}^{UL} - 1) - N_{SRS}$ , where  $N_{SRS} = 1$  if a last subframe symbol is used to transmit SRS and  $N_{SRS} = 0$  otherwise.

[98] FIGURE 5 illustrates a transmitter block diagram 500 for a PDSCH in a subframe according to embodiments of the present disclosure. The embodiment of the transmitter block diagram 500 illustrated in FIGURE 5 is for illustration only. One or more of the components illustrated in FIGURE 5 can be implemented in specialized circuitry configured to perform the noted functions or one or more of the components can be implemented by one or more processors executing instructions to perform the noted functions. FIGURE 5 does not limit the scope of this disclosure to any particular implementation of the transmitter block diagram 500.

[99] As shown in FIGURE 5, information bits 510 are encoded by encoder 520, such as a turbo encoder, and modulated by modulator 530, for example using quadrature phase shift keying (QPSK) modulation. A serial to parallel (S/P) converter 540 generates M modulation symbols that are subsequently provided to a mapper 550 to be mapped to REs selected by a transmission BW selection unit 555 for an assigned PDSCH transmission BW, unit 560 applies an Inverse fast Fourier transform (IFFT), the output is then serialized by a parallel to serial (P/S) converter 570 to create a time domain signal, filtering is applied by filter 580, and a signal transmitted 590. Additional functionalities, such as data scrambling, cyclic prefix insertion, time windowing, interleaving, and others are well known in the art and are not shown for brevity.

[100] FIGURE 6 illustrates a receiver block diagram 600 for a PDSCH in a subframe according to embodiments of the present disclosure. The embodiment of the diagram 600 illustrated in FIGURE 6 is for illustration only. One or more of the components il-

illustrated in FIGURE 6 can be implemented in specialized circuitry configured to perform the noted functions or one or more of the components can be implemented by one or more processors executing instructions to perform the noted functions. FIGURE 6 does not limit the scope of this disclosure to any particular implementation of the diagram 600.

- [101] As shown in FIGURE 6, a received signal 610 is filtered by filter 620, REs 630 for an assigned reception BW are selected by BW selector 635, unit 640 applies a fast Fourier transform (FFT), and an output is serialized by a parallel-to-serial converter 650. Subsequently, a demodulator 660 coherently demodulates data symbols by applying a channel estimate obtained from a DMRS or a CRS (not shown), and a decoder 670, such as a turbo decoder, decodes the demodulated data to provide an estimate of the information data bits 680. Additional functionalities such as time-windowing, cyclic prefix removal, de-scrambling, channel estimation, and de-interleaving are not shown for brevity.
- [102] FIGURE 7 illustrates a transmitter block diagram 700 for a PUSCH in a subframe according to embodiments of the present disclosure. The embodiment of the block diagram 700 illustrated in FIGURE 7 is for illustration only. One or more of the components illustrated in FIGURE 5 can be implemented in specialized circuitry configured to perform the noted functions or one or more of the components can be implemented by one or more processors executing instructions to perform the noted functions. FIGURE 7 does not limit the scope of this disclosure to any particular implementation of the block diagram 700.
- [103] As shown in FIGURE 7, information data bits 710 are encoded by encoder 720, such as a turbo encoder, and modulated by modulator 730. A discrete Fourier transform (DFT) unit 740 applies a DFT on the modulated data bits, REs 750 corresponding to an assigned PUSCH transmission BW are selected by transmission BW selection unit 755, unit 760 applies an IFFT and, after a cyclic prefix insertion (not shown), filtering is applied by filter 770 and a signal transmitted 780.
- [104] FIGURE 8 illustrates a receiver block diagram 800 for a PUSCH in a subframe according to embodiments of the present disclosure. The embodiment of the block diagram 800 illustrated in FIGURE 8 is for illustration only. One or more of the components illustrated in FIGURE 8 can be implemented in specialized circuitry configured to perform the noted functions or one or more of the components can be implemented by one or more processors executing instructions to perform the noted functions. FIGURE 8 does not limit the scope of this disclosure to any particular implementation of the block diagram 800.
- [105] As shown in FIGURE 8, a received signal 810 is filtered by filter 820. Subsequently, after a cyclic prefix is removed (not shown), unit 830 applies a FFT, REs 840 corre-

sponding to an assigned PUSCH reception BW are selected by a reception BW selector 845, unit 850 applies an inverse DFT (IDFT), a demodulator 860 coherently demodulates data symbols by applying a channel estimate obtained from a DMRS (not shown), a decoder 870, such as a turbo decoder, decodes the demodulated data to provide an estimate of the information data bits 880.

[106] FIGURE 9 illustrates an example antenna blocks 900 according to embodiments of the present disclosure. The embodiment of the antenna blocks 900 illustrated in FIGURE 9 is for illustration only. FIGURE 9 does not limit the scope of this disclosure to any particular implementation of the antenna blocks 900.

[107] The 3GPP LTE and NR (new radio access or interface) specifications support up to 32 CSI-RS antenna ports which enable an eNB to be equipped with a large number of antenna elements (such as 64 or 128). In this case, a plurality of antenna elements is mapped onto one CSI-RS port. For next generation cellular systems such as 5G, the maximum number of CSI-RS ports can either remain the same or increase. For mmWave bands, although the number of antenna elements can be larger for a given form factor, the number of CSI-RS ports -which can correspond to the number of digitally precoded ports - tends to be limited due to hardware constraints (such as the feasibility to install a large number of ADCs/DACs at mmWave frequencies) as illustrated in FIGURE 9. In this case, one CSI-RS port is mapped onto a large number of antenna elements which can be controlled by a bank of analog phase shifters 901. One CSI-RS port can then correspond to one sub-array which produces a narrow analog beam through analog beamforming 905. This analog beam can be configured to sweep across a wider range of angles 920 by varying the phase shifter bank across symbols or subframes. The number of sub-arrays (equal to the number of RF chains) is the same as the number of CSI-RS ports  $N_{\text{CSI-PORT}}$ . A digital beamforming unit 910 performs a linear combination across  $N_{\text{CSI-PORT}}$  analog beams to further increase precoding gain. While analog beams are wideband (hence not frequency-selective), digital precoding can be varied across frequency sub-bands or resource blocks. Receiver operation can be conceived analogously.

[108] Because the above system utilizes multiple analog beams for transmission and reception (wherein one or a small number of analog beams are selected out of a large number, for instance, after a training duration - to be performed from time to time), the term "multi-beam operation" is used to refer to the overall system aspect. This includes, for the purpose of illustration, indicating the assigned DL or UL transmit (TX) beam (also termed "beam indication"), measuring at least one reference signal for calculating and performing beam reporting (also termed "beam measurement" and "beam reporting", respectively), and receiving a DL or UL transmission via a selection of a corresponding receive (RX) beam.

- [109] The above system is also applicable to higher frequency bands such as >52.6GHz (also termed the FR4). In this case, the system can employ only analog beams. Due to the O<sub>2</sub> absorption loss around 60GHz frequency (~10dB additional loss @100m distance), larger number of and sharper analog beams (hence larger number of radiators in the array) will be needed to compensate for the additional path loss.
- [110] In 3GPP LTE and NR, network access and radio resource management (RRM) are enabled by physical layer synchronization signals and higher (MAC) layer procedures. In particular, a UE attempts to detect the presence of synchronization signals along with at least one cell ID for initial access. Once the UE is in the network and associated with a serving cell, the UE monitors several neighboring cells by attempting to detect their synchronization signals and/or measuring the associated cell-specific RSs (for instance, by measuring their RSRPs). For next generation cellular systems, efficient and unified radio resource acquisition or tracking mechanism which works for various use cases (such as eMBB, URLLC, mMTC, each corresponding to a different coverage requirement) and frequency bands (with different propagation losses) is desirable. Most likely designed with a different network and radio resource paradigm, seamless and low-latency RRM is also desirable. Such goals pose at least the following problems in designing an access, radio resource, and mobility management framework.
- [111] First, since NR is likely to support even more diversified network topology, the notion of cell can be redefined or replaced with another radio resource entity. As an example, for synchronous networks, one cell can be associated with a plurality of TRPs (transmit-receive points) similar to a COMP (coordinated multipoint transmission) scenario in LTE. In this case, seamless mobility is a desirable feature. Second, when large antenna arrays and beamforming are utilized, defining radio resource in terms of beams (although possibly termed differently) can be a natural approach. Given that numerous beamforming architectures can be utilized, an access, radio resource, and mobility management framework which accommodates various beamforming architectures (or, instead, agnostic to beamforming architecture) is desirable. For instance, the framework should be applicable for or agnostic to whether one beam is formed for one CSI-RS port (for instance, where a plurality of analog ports are connected to one digital port, and a plurality of widely separated digital ports are utilized) or one beam is formed by a plurality of CSI-RS ports. In addition, the framework should be applicable whether beam sweeping (as illustrated in FIGURE 9) is used or not. Third, different frequency bands and use cases impose different coverage limitations. For example, mmWave bands impose large propagation losses. Therefore, some form of coverage enhancement scheme is needed. Several candidates include beam sweeping (cf. FIGURE 9), repetition, diversity, and/or multi-TRP transmission. For mMTC where transmission bandwidth is small, time-domain

repetition is needed to ensure sufficient coverage.

- [112] A prerequisite to seamless access is significant reduction of higher-layer procedures for UEs which are already connected to the network. For instance, the existence of cell boundaries (or in general the notion of cells) necessitates RRC (L3) reconfiguration as a UE moves from one cell to another (i.e., inter-cell mobility). For heterogeneous networks with closed subscriber groups, additional overhead associated with higher layer procedures may further tax the system. This can be achieved by relaxing the cell boundaries thereby creating a large "super-cell" wherein a large number of UEs can roam. In this case, high capacity MIMO transmission (especially MU-MIMO) becomes more prevalent. While this presents an opportunity to increase system capacity (measured in terms of the number of sustainable UEs), it requires a streamlined MIMO design. This poses a challenge if applied in the current system.
- [113] Therefore, there is a need for an access, radio resource, and mobility management framework which facilitates seamless access by reducing the amount of higher layer procedures. In addition, there is also a need for a streamlined MIMO design that facilitates high capacity MIMO transmission.
- [114] In NR, multi-beam operation is designed primarily for single transmit-receive point (TRP) and single antenna panel. Therefore, the specification supports beam indication for one TX beam wherein a TX beam is associated with a reference RS. For DL beam indication and measurement, the reference RS can be NZP (non-zero power) CSI-RS and/or SSB (synchronization signal block, which includes primary synchronization signal, secondary synchronization signal, and PBCH). Here, DL beam indication is done via the transmission configuration indicator (TCI) field in DL-related DCI which includes an index to one (and only one) assigned reference RS. A set of hypotheses or the so-called TCI states is configured via higher-layer (RRC) signaling and, when applicable, a subset of those TCI states is selected/activated via MAC CE for the TCI field code points. For UL beam indication and measurement, the reference RS can be NZP CSI-RS, SSB, and/or SRS. Here, UL beam indication is done via the SRS resource indicator (SRI) field in UL-related DCI which is linked to one (and only one) reference RS. This linkage is configured via higher-layer signaling using the Spatial-RelationInfo RRC parameter. Essentially, only one TX beam is indicated to the UE.
- [115] In NR, beam management was designed to share the same framework as CSI acquisition. This, however, compromises the performance of beam management especially for FR2. This is because beam management operates mainly with analog beams (characteristic of FR2) which paradigmatically differ from CSI acquisition (designed with FR1 in mind). Consequently, NR beam management becomes cumbersome and is unlikely able to keep up with more aggressive use cases which require large number of beams and fast beam switching (e.g., higher frequency bands,

high mobility, and/or larger number of narrower analog beams). In addition, NR was designed to accommodate a number of unknown or rudimentary capabilities (e.g., UEs not capable of beam correspondence). To be flexible, it results in a number of options. This becomes burdensome to L1 control signaling and therefore a number of reconfigurations are performed via RRC signaling (higher-layer configuration). While this avoids L1 control overhead, it either results in high latency (if reconfiguration is performed sparsely) or imposes high usage of PDSCH (since RRC signaling consumes PDSCH resources).

- [116] In NR, the handover procedure to handle inter-cell mobility is similar to LTE and relies heavily on RRC (and even higher layer) reconfigurations to update cell-specific parameters. These reconfigurations usually are slow and incur large latency (up to several milliseconds). For high mobility UEs, this issue gets worse due to the need for more frequency handovers, hence more frequency RRC reconfigurations.
- [117] For high mobility UEs in FR2, the two latency issues mentioned above, one with the hierarchical NW structure (with visible cell boundaries) and the other with the beam management, compound together and make the latency issue much worse, and lead to frequent radio link failures (RLFs). Therefore, there is a need for solutions/mechanisms which can reduce RLFs for high mobility UEs in FR2. One such solution/mechanism, namely, beam management for mobility, is proposed in this disclosure.
- [118] In the present disclosure, the term "activation" describes an operation wherein a UE receives and decodes a signal from the network (or gNB) that signifies a starting point in time. The starting point can be a present or a future slot/subframe or symbol - the exact location either implicitly or explicitly indicated, or otherwise fixed or higher-layer configured. Upon successfully decoding the signal, the UE responds accordingly. The term "deactivation" describes an operation wherein a UE receives and decodes a signal from the network (or gNB) that signifies a stopping point in time. The stopping point can be a present or a future slot/subframe or symbol - the exact location either implicitly or explicitly indicated, or otherwise fixed or higher-layer configured. Upon successfully decoding the signal, the UE responds accordingly.
- [119] Terminology such as TCI, TCI states, SpatialRelationInfo, target RS, reference RS, and other terms is used for illustrative purposes and therefore not normative. Other terms that refer to the same functions can also be used.
- [120] A "reference RS" corresponds to a set of characteristics of UL TX beam or DL RX beam, such as direction, precoding/beamforming, number of ports, etc. For instance, for UL, as the UE receives a reference RS index/ID in an UL grant, the UE applies the known characteristics of the reference RS to the granted UL transmission. The reference RS can be received and measured by the UE (in this case, the reference RS is a downlink signal such as NZP CSI-RS and/or SSB) with the result of the mea-

surement used for calculating a beam report. As the NW/gNB receives the beam report, the NW can be better equipped with information to assign a particular UL TX beam or DL RX beam to the UE. Alternatively, the beam reporting can be based on beam measurement of measurement RSs(s), wherein the measurement RS(s) is NZP CSI-RS or SSB, but it is different from (or independent of) reference RS(s). Optionally, the reference RS can be transmitted by the UE (in this case, the reference RS is a uplink signal such as SRS or DMRS). As the NW/gNB receives the reference RS, the NW/gNB can measure and calculate the needed information to assign a particular UL TX beam or DL RX beam to the UE. This option is applicable when DL-UL beam pair correspondence holds. The terms "reference RS" and "source RS" can be used interchangeably to represent the same/equivalent entity.

[121] When a (DL) reference RS (such as CSI-RS and SSB) is configured for measurement and reporting purpose, it can also be referred to as a (DL) measurement RS. Likewise, when an UL reference RS (such as SRS) is configured for measurement purpose (at gNB), it can also be referred to as an UL measurement RS. In one example, when an RS is configured for beam measurement (and/or beam reporting) purpose, it is referred to as a measurement RS, and when an RS is configured or associated with a beam indication (or TCI or TCI state update), it is referred to as a source or reference RS. In one example, a reference RS can be configured as a measurement RS. In one example, a reference RS is separate from (hence can't be) a measurement RS.

[122] The reference RS can be dynamically triggered by the NW/gNB (e.g., via DCI in case of aperiodic RS), preconfigured with a certain time-domain behavior (such as periodicity and offset, in case of periodic RS), or a combination of such pre-configuration and activation/deactivation (in case of semi-persistent RS).

[123] There are two types of frequency range (FR) defined in the 3GPP NR specifications. The sub-6 GHz range is called frequency range 1 (FR1) and millimeter wave range is called frequency range 2 (FR2). An example of the frequency range for FR1 and FR2 is shown below.

[124]

| Frequency range designation | Corresponding frequency range |
|-----------------------------|-------------------------------|
| FR1                         | 450 MHz – 6000 MHz            |
| FR2                         | 24250 MHz – 52600 MHz         |

[125] The following embodiment is an example of DL multi-beam operation that utilizes DL beam indication after the network (NW) receives some transmission from the UE. In the first example embodiment, aperiodic CSI-RS is transmitted by the NW and measured by the UE. Although aperiodic RS is used in these two examples, periodic or semi-persistent RS can also be used.

- [126] For mmWave (or FR2) or higher frequency bands (such as >52.6GHz or FR4) where multi-beam operation is especially relevant, transmission-reception process includes the receiver to select a receive (RX) beam for a given TX beam. For UL multi-beam operation, the gNB selects an UL RX beam for every UL TX beam (which corresponds to a reference RS). Therefore, when UL RS (such as SRS and/or DMRS) is used as reference RS, the NW/gNB triggers or configures the UE to transmit the UL RS (which is associated with a selection of UL TX beam). The gNB, upon receiving and measuring the UL RS, selects an UL RX beam. As a result, a TX-RX beam pair is derived. The NW/gNB can perform this operation for all the configured reference RSs (either per reference RS or "beam sweeping") and determine all the TX-RX beam pairs associated with all the reference RSs configured to the UE. On the other hand, when DL RS (such as CSI-RS and/or SSB) is used as reference RS (pertinent when DL-UL beam correspondence or reciprocity holds), the NW/gNB transmits the RS to the UE (for UL and by reciprocity, this corresponds to an UL RX beam). In response, the UE measures the reference RS (and in the process selects an UL TX beam) and reports the beam metric associated with the quality of the reference RS. In this case, the UE determines the TX-RX beam pair for every configured (DL) reference RS. Therefore, although this knowledge is unavailable to the NW/gNB, the UE -upon receiving a reference RS (hence UL RX beam) indication from the NW/gNB - can select the UL TX beam from the knowledge on all the TX-RX beam pairs.
- [127] In the present disclosure, the term "Resource Indicator", also abbreviated as REI, is used to refer to an indicator of RS resource used for signal/channel and/or interference measurement. This term is used for illustrative purposes and hence can be substituted with any other term that refers to the same function. Examples of REI include the aforementioned CSI-RS resource indicator (CRI) and SSB resource indicator (SSB-RI). Any other RS can also be used for signal/channel and/or interference measurement such as DMRS.
- [128] In one example illustrated in FIGURE 10, an UL multi-beam operation 1000 is shown. The embodiment of the UL multi-beam operation 1000 illustrated in FIGURE 10 is for illustration only. FIGURE 10 does not limit the scope of this disclosure to any particular implementation of the UL multi-beam operation 1000.
- [129] The UL multi-beam operation 1000 starts with the gNB/NW signaling to a UE an aperiodic CSI-RS (AP-CSI-RS) trigger or indication (step 1001). This trigger or indication can be included in a DCI (either UL-related or DL-related, either separately or jointly signaled with an aperiodic CSI request/trigger) and indicate transmission of AP-CSI-RS in a same (zero time offset) or later slot/sub-frame (>0 time offset). Upon receiving the AP-CSI-RS transmitted by the gNB/NW (step 1002), the UE measures the AP-CSI-RS and, in turn, calculates and reports a "beam metric" (indicating quality

of a particular TX beam hypothesis) (step 1003). Examples of such beam reporting are CSI-RS resource indicator (CRI) or SSB resource indicator (SSB-RI) coupled with its associated L1-RSRP/L1-RSRQ/L1-SINR/CQI.

- [130] Upon receiving the beam report from the UE, the gNB/NW can use the beam report to select an UL TX beam for the UE and indicate the UL TX beam selection (step 1004) using the SRI field in the UL-related DCI (that carries the UL grant, such as DCI format 0\_1 in NR). The SRI corresponds to a "target" SRS resource that is linked to a reference RS (in this case, an AP-CSI-RS) via *SpatialRelationInfo* configuration. Upon successfully decoding the UL-related DCI with the SRI, the UE performs UL transmission (such as data transmission on PUSCH) with the UL TX beam associated with the SRI (step 1005).
- [131] In another example illustrated in FIGURE 11, an UL multi-beam operation 1100 is shown. The embodiment of the UL multi-beam operation 1100 illustrated in FIGURE 11 is for illustration only. FIGURE 11 does not limit the scope of this disclosure to any particular implementation of the UL multi-beam operation 1100.
- [132] The UL multi-beam operation 1100 starts with the gNB/NW signaling to a UE an aperiodic SRS (AP-SRS) trigger or request (step 1101). This trigger can be included in a DCI (either UL-related or DL-related). Upon receiving and decoding the AP-SRS trigger, the UE transmits AP-SRS to the gNB/NW (step 1102) so that the NW (or gNB) can measure the UL propagation channel and select an UL TX beam for the UE. The gNB/NW can then indicate the UL TX beam selection (step 1103) using the SRI field in the UL-related DCI (that carries the UL grant, such as DCI format 0\_1 in NR). The SRI corresponds to a "target" SRS resource that is linked to a reference RS (in this case, an AP-SRS) via *SpatialRelationInfo* configuration. Upon successfully decoding the UL-related DCI with the SRI, the UE performs UL transmission (such as data transmission on PUSCH) with the UL TX beam associated with the SRI (step 1104).
- [133] In another example illustrated in FIGURE 12, a DL multi-beam operation 1200 is shown. The embodiment of the DL multi-beam operation 1200 illustrated in FIGURE 12 is for illustration only. FIGURE 12 does not limit the scope of this disclosure to any particular implementation of the DL multi-beam operation 1200.
- [134] In the example illustrated in FIGURE 12, where a UE is configured for measuring/receiving aperiodic CSI-RS (AP-CSI-RS) and reporting aperiodic CSI (AP CSI), a DL multi-beam operation 1200 starts with the gNB/NW signaling to a UE an aperiodic CSI-RS (AP-CSI-RS) trigger or indication (step 1201). This trigger or indication can be included in a DCI (either UL-related or DL-related, either separately or jointly signaled with an aperiodic CSI request/trigger) and indicate transmission of AP-CSI-RS in a same (zero time offset) or later slot/sub-frame (>0 time offset). Upon receiving the AP-CSI-RS transmitted by the gNB/NW (step 1202), the UE measures

the AP-CSI-RS and, in turn, calculates and reports a "beam metric" (included in the CSI, indicating quality of a particular TX beam hypothesis) (step 1203). Examples of such beam reporting (supported in NR) are CSI-RS resource indicator (CRI) or SSB resource indicator (SSB-RI) coupled with its associated L1-RSRP and/or L1-SINR. Upon receiving the beam report from the UE, the NW/gNB can use the beam report to select a DL TX beam for the UE and indicate the DL TX beam selection (step 1204) using the TCI field in the DL-related DCI (that carries the DL assignment, such as DCI format 1\_1 in NR). The TCI state corresponds to a reference RS (in this case, an AP-CSI-RS) defined/configured via the TCI state definition (higher-layer/RRC configured, from which a subset is activated via MAC CE for the DCI-based selection). Upon successfully decoding the DL-related DCI with the TCI field, the UE performs DL reception (such as data transmission on PDSCH) with the DL TX beam associated with the TCI field (step 1205). In this example embodiment, only one DL TX beam is indicated to the UE.

- [135] To facilitate fast beam management, one requirement is to streamline the foundational components (building blocks) for beam management. One functionality of beam management is beam selection which comprises functions such as beam measurement (including training), reporting (for DL beam management, reporting via UL control channel(s)), and indication (for DL and UL beam management, indication via DL control channel(s)). Once the building blocks are streamlined [step 1], additional advanced features to facilitate faster beam management can be added [step 2].
- [136] In U.S. Patent Application Serial No. 16/949,246 filed on October 21, 2020, the disclosure of which is incorporated by reference herein, a "slim mode" with streamlined designs of such foundational components [step 1] is proposed for fast beam management. The slim-mode design, due to its compact nature, can facilitate faster update/reconfiguration via lower-layer control signaling. In other words, L1 control signaling will be the primary signaling mechanism and higher-layer (such as MAC CE or RRC) is used only when necessary. Here, L1 control signaling includes the use of UE-group DCI as well as dedicated (UE-specific) DCI.
- [137] The aforementioned additional advanced features can include extensions of beam management (multi-beam operation) from intra-cell to inter-cell mobility. With such mechanism, seamless access/mobility for RRC\_CONNECTED UEs -as if cell boundaries were not observed unless a UE is in initial access or initial-access-like condition - can be achieved. Another advanced feature includes mechanisms to minimize beam failure (BF) or radio link failure (RLF) such as low-overhead faster beam switching/selection and UE-initiated/event-triggered beam management. With such preventive mechanisms in place, beam failure recovery (BFR) will be less likely used.

- [138] In NR beam management (BM), the beam indication/reporting is associated with a resource ID (CRI indicating CSI-RS, SSBRI indicating SSB). The drawback of such indication/reporting is the need for more frequent update of beam indication/reporting for high speed scenarios. When the UE moves at a predictable speed and/or trajectory relative to the gNB or the NW, the beam refinement and switching over a longer period of time can be to facilitate with only one DL beam indication signaling for DL (likewise, with only one UL beam indication signaling for UL). For instance, for DL (likewise for UL) beam indication, the TCI field indicates the selected TCI state wherein one TCI state is associated with a sequence of source/reference RS (port) indices representing a sequence of DL (likewise for UL) TX beams the UE assumes over a period of time. In one example, the number of reference RS indices in the sequence along with the length of the time period (possibly including periodicity and/or offset) can be configured via higher-layer signaling (RRC and/or MAC CE). This configuration can be separate or together with the TCI state definition. When receiving this indication, the UE assumes that the DL (likewise for UL) TX beam switches (or sweeps) over the period of time according to the configured sequence.
- [139] In this disclosure, more details about the components (TCI state definition, QCL assumptions, etc.), beam (reference signal) measurement, beam indication and reporting as well as the corresponding signaling mechanisms are proposed.
- [140] In the rest of the disclosure, the term "beam", can be associated a spatial transmission of a resource signal (RS) from a "port", "antenna port", or "virtual antenna/port".
- [141] Component 1 - DL beam measurement and training
- [142] If mobility profile (e.g., speed) of a UE is predictable (e.g., based on SRS at gNB or based on CSI-RS at UE), then instead of indicating a single TX beam (e.g., via DL beam indication) or reporting a single beam (via beam report), the beam indication or beam reporting can refer to a set of TX beam.
- [143] In one embodiment (1), the DL BM procedures include mechanism to facilitate indicating and/or reporting a set of DL TX beams via a single beam indication and/or beam reporting. The DL BM procedures include the following three essential steps: (S1) beam measurement, (S2) beam reporting, and (S3) beam indication.
- [144] For beam measurement (S1), a set of K reference RSs can be configured for measurement via higher-layer (such as RRC) signaling to a UE. If beam correspondence does not hold, the K reference RSs can be NZP CSI-RS, SSB, DL DMRS, or any combination of those. For example, this set can be composed of NZP CSI-RS and SSB. Alternatively, it can be composed of NZP CSI-RS only. Alternatively, it can be composed of SSB only. If beam correspondence holds, the K reference RSs can be NZP CSI-RS, SSB, DL DMRS, SRS, UL DMRS, or any combination of those. Each reference RS can be associated with a resource ID of the particular type of RS. Op-

tionally, each reference RS can also be associated with an entity ID of a particular type of radio resource (RR) entity, which the reference RS belongs to (or transmitted from). A few examples of the RR entity include at least one or a combination of cell, transmit-receive point (TRP), antenna panel, resource set, and port.

- [145] In one example, a reference RS can be associated with a TX beam or spatial domain filter, which NW/gNB (for DL RS) or UE (for UL RS) uses to beamform/precoder the reference RS before its transmission. The choice of the TX beam or spatial domain filter is up to the NW/gNB (for DL RS) or UE (for US RS).
- [146] At least one of the following alternatives can be used for beam reporting (S2) and DL beam indication (S3).
- [147] In one alternative Alt 1.1, both beam reporting (S2) and DL beam indication (S3) correspond to a single DL TX beam (similar to NR BM). For beam reporting (S2), the UE is configured to use a subset or all of the configured K reference RSs to determine one beam report comprising a beam metric and/or a resource indicator. For beam indication (S3), the NR TCI-based mechanism can be reused. The TCI-based mechanism links/associates one of the K reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).
- [148] In one alternative Alt 1.2, beam reporting (S2) corresponds to a single DL TX beam (similar to NR BM), and DL beam indication (S3) corresponds to a set of  $M > 1$  DL TX beams  $m=0, 1, 2, \dots, M-1$ . For beam reporting (S2), the procedures as in Alt 1.1 is used. For beam indication (S3), the NR 16 TCI-based mechanism can be reused to link/associate  $M$  out of the K reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).
- [149] In one alternative Alt 1.3, beam reporting (S2) corresponds to a set of  $N > 1$  DL TX beams  $n=0, 1, 2, \dots, N-1$ , and DL beam indication (S3) corresponds to a single DL TX beam (similar to NR BM). For beam indication (S3), the procedures as in Alt 1.1 is used. For beam reporting (S2), the UE is configured to use a subset or all of the configured K reference RSs to determine  $N$  beam reports, where each beam report comprises a beam metric and/or a resource indicator.
- [150] In one alternative Alt 1.4, beam reporting (S2) corresponds to a set of  $N > 1$  DL TX beams  $n=0, 1, 2, \dots, N-1$ , and DL beam indication (S3) corresponds to a set of  $M > 1$  DL TX beams  $m=0, 1, 2, \dots, M-1$ . For beam reporting (S2), the UE is configured to use a subset or all of the configured K reference RSs to determine  $N$  beam reports, where each beam report comprises a beam metric and/or a resource indicator. For

beam indication (S3), the NR TCI-based mechanism can be reused to link/associate  $M$  out of the  $K$  reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).

- [151] In one example, the beam metric is a L1-RSRP which indicates power level of a reference RS. In another example, the beam metric is a L1-SINR which indicates a ratio of signal power and (noise plus) interference power, where the signal power is determined using a reference RS and the interference power is determined using a ZP CSI-RS resource and/or NZP CSI-RS resource configured to the UE for interference measurement. In one example, the resource indicator is a CRI indicating a CSI-RS resource. In another example, the resource indicator is a SSBRI indicating a SSB resource. In another example, the resource indicator is a SRI indicating a SRS resource. In one example, the resource indicator indicates both a reference RS and an RR entity that the reference RS belongs to or transmitted from (cf. for BM management based intra- or inter-cell mobility scenarios).
- [152] For DL beam indication, two relevant channels include PDSCH and PDCCH (and examples of another/target RS include DL DMRS, CSI-RS, SSB, SRS, UL DMRS). Similar to NR, a set of TCI states can be configured via higher-layer (RRC) signaling. Optionally, a set of TCI states can be configured via MAC CE. Optionally, a subset of the TCI states can be activated or selected either via MAC CE or L1 control signaling (via either UE-group DCI where a set of UEs share a same TCI state subset, or UE-specific/dedicated DCI). This subset constitutes the TCI states represented by the code points of the TCI field in the corresponding DCI. This update/activation can be performed in either one shot or incrementally. The TCI state indicated by the code point of the TCI field is a reference to the TX beam or the TX spatial filter associated with a reference RS. For DL, given such a reference, the UE can further derive the RX beam or RX spatial filter. The DCI that includes the TCI field (which can be either DL-related DCI or UL-related DCI) performs the function of the so-called "beam indication".
- [153] FIGURE 13 illustrates beam reporting and beam indication according to Alt 1.1 through Alt 1.4, wherein for Alt 1.1 and Alt 1.3, a TCI state includes a TCI state ID and a QCL-Info parameter indicating a single DL TX beam. For Alt 1.2 and Alt 1.4, three alternatives are provided for  $M > 1$  DL TX beam indication.
- [154] ● In one alternative Alt S3-A: a TCI state includes a TCI state ID and a set of QCL-Info parameters for  $M$  DL TX beams.
- [155] ● In one alternative Alt S3-B: a set of TCI states where each TCI state includes a TCI state ID and a QCL-Info parameter indicating a single DL TX beam.

- [156] ● In one alternative Alt S3-C: a set of  $P$  TCI states where each TCI state includes a TCI state ID and a set of QCL-Info parameters for  $Q$  DL TX beams, and  $P \times Q = M$ .
- [157] A QCL-Info parameter includes a resource ID, and optionally, an entity ID (e.g., cell ID) of a reference RS (from  $K$  reference RSs), and a QCL-Type, e.g., QCL TypeD.
- [158] In one example,  $N = M$ , where  $N$  is fixed or configured via higher layer (RRC) or reported by the UE. In another example,  $N \neq M$ , where at least one of the following examples is used for  $N$  and  $M$ .
- [159] ● In one example 1-1, both  $N$  and  $M$  are fixed.
- [160] ● In one example 1-2, both  $N$  and  $M$  are configured via higher layer (RRC).
- [161] ● In one example 1-3, both  $N$  and  $M$  are reported by the UE.
- [162] ● In one example 1-4,  $N$  is fixed and  $M$  is configured via higher layer (RRC).
- [163] ● In one example 1-5,  $N$  is fixed and  $M$  is reported by the UE.
- [164] ● In one example 1-6,  $N$  is configured via higher layer (RRC) and  $M$  is fixed.
- [165] ● In one example 1-7,  $N$  is configured via higher layer (RRC) and  $M$  is reported by the UE.
- [166] ● In one example 1-8,  $N$  is reported by the UE and  $M$  is fixed.
- [167] ● In one example 1-9,  $N$  is reported by the UE and  $M$  is configured via higher layer (RRC).
- [168] ● In one example 1-10,  $M$  is fixed and  $N$  is configured via higher layer (RRC).
- [169] ● In one example 1-11,  $M$  is fixed and  $N$  is reported by the UE.
- [170] ● In one example 1-12,  $M$  is configured via higher layer (RRC) and  $N$  is fixed.
- [171] ● In one example 1-13,  $M$  is configured via higher layer (RRC) and  $N$  is reported by the UE.
- [172] ● In one example 1-14,  $M$  is reported by the UE and  $N$  is fixed.
- [173] ● In one example 1-15,  $M$  is reported by the UE and  $N$  is configured via higher layer (RRC).
- [174] A few sub-embodiments of this embodiment, for the beam reporting (S2) over a longer period of time are as follows.
- [175] In one sub-embodiment 1.1.1, a UE is configured with a beam reporting indicating a set of  $N$  DL TX beams (cf. Alt 1.3 and Alt 1.4) where the beam reporting is performed in an aperiodic manner. In one example, the beam reporting is triggered via DL-related DCI. In one example, the beam reporting is triggered via UL-related DCI. The beam reporting corresponds to a burst of  $N$  beams  $n = 0, 1, \dots, N-1$  such that over a period of time, the DL TX beam can change from  $n = 0$  to  $n = N-1$  according to a pattern (sequence), which can be fixed or reported together with the beam reporting or

configured. In one example, the set of  $N$  DL TX beams can represent a wider DL TX beam (e.g.,  $N$  narrow beams can be associated with a wide beam) for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $N$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $N$  DL TX beams.

[176] In one sub-embodiment 1.1.2, a UE can initiate (or can be configured to initiate, e.g., based on L1 events such as beam failure detection) a beam reporting indicating a set of  $N$  DL TX beams (cf. Alt 1.3 and Alt 1.4) where the initiated beam reporting corresponds to an aperiodic report. The beam reporting corresponds to a burst of  $N$  beams  $n=0, 1, \dots, N-1$  such that over a period of time, the DL TX beam can change from  $n=0$  to  $n=N-1$  according to a pattern (sequence), which can be fixed or reported together with the beam reporting or configured. In one example, the set of  $N$  DL TX beams can represent a wider DL TX beam (e.g.,  $N$  narrow beams can be associated with a wide beam) for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $N$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $N$  DL TX beams.

[177] In one sub-embodiment 1.1.3, a UE is configured with a beam reporting indicating a set of  $N$  DL TX beams (cf. Alt 1.3 and Alt 1.4) where the beam reporting is performed in a semi-persistent manner. In one example, the semi-persistent beam reporting is activated or deactivated based on a MAC CE based activation or deactivation command, respectively. When activated, the UE reports a set of  $N$  DL TX beams in a periodic manner. The UE stops periodic beam reporting after receiving a deactivation command. With such a beam reporting mechanism, the beam reporting can be performed sparingly. The gNB can infer (interpolate) DL TX beams between two such beam reporting instances via, e.g., an interpolated pattern, which can be fixed, reported together with the beam reporting or configured. In one example, the set of  $N$  DL TX beams can represent a wider DL TX beam (e.g.,  $N$  narrow beams can be associated with a wide beam) for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $N$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $N$  DL TX beams.

[178] A few sub-embodiments of this embodiment, for the beam indication over a longer period of time are as follows.

[179] FIGURE 14 illustrates example beam indication mechanisms 1400. The embodiment of the example beam indication mechanisms 1400 illustrated in FIGURE 14 is for il-

illustration only. FIGURE 14 does not limit the scope of this disclosure to any particular implementation of the example beam indication mechanisms 1400.

[180] In one sub-embodiment 1.2.1, a UE is configured with a beam indication indicating a set of  $M$  DL TX beams (cf. Alt 1.2 and Alt 1.4) where the beam indication is performed in an aperiodic manner. In one example, the beam indication is performed via a TCI state included as a code-point in DL-related DCI. In one example, the beam indication is performed via a TCI state included as a code-point in UL-related DCI. In one example, the indicated code-point is selected from a set of TCI states configured via higher layer (RRC). In another example, the indicated code-point is selected from a set of TCI states configured via MAC CE activation command, where the set of TCI states can be selected from a larger set of TCI states configured via higher layer (RRC). In this case, the beam indication corresponds to a burst of  $M$  beams  $m=0, 1, \dots, M-1$  such that over a period of time, the DL TX beam can change from  $m=0$  to  $m=M-1$  according to a pattern (sequence), which can be fixed, reported together with the beam reporting or configured. In one example, the set of  $M$  DL TX beams can represent a wider DL TX beam for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $M$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $M$  DL TX beams. An illustration of the DL beam indication according to this embodiment is shown in FIGURE 14.

[181] In one sub-embodiment 1.2.2, a UE can initiate (or can be configured to initiate, e.g., based on L1 events such as beam failure detection) a beam indication mechanism indicating a set of  $M$  DL TX beams (cf. Alt 1.2 and Alt 1.4) where the initiated beam indication corresponds to an aperiodic indication. Some of details about UE-initiated beam report/indication can be found in 2019.08.019.SR0. The beam indication corresponds to a burst of  $M$  beams  $m=0, 1, \dots, M-1$  such that over a period of time, the DL TX beam can change from  $m=0$  to  $m=M-1$  according to a pattern (sequence), which can be fixed, reported together with the beam reporting or configured. In one example, the set of  $M$  DL TX beams can represent a wider DL TX beam for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $M$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $M$  DL TX beams. An illustration of the DL beam indication according to this embodiment is shown in FIGURE 14.

[182] In one sub-embodiment 1.2.3, a UE is configured with a beam indication indicating a set of  $M$  DL TX beams (cf. Alt 1.2 and Alt 1.4) where the beam indication is performed in a semi-persistent manner. In one example, the semi-persistent beam in-

dication is activated or deactivated based on a MAC CE based activation or deactivation command, respectively. When activated, the UE is indicated with a set of  $M$  DL TX beams in a periodic manner. The beam indication is deactivated based on a deactivation command. With such a beam indication mechanism, the beam indication can be performed sparingly. The UE can infer (interpolate) DL TX beams between two such beam indication instances via, e.g., an interpolated pattern, which can be fixed, reported together with the beam reporting or configured. In one example, the set of  $M$  DL TX beams can represent a wider DL TX beam for control channel (PDCCH). For data channel (PDSCH), however, the DL TX beam will be one of the  $M$  DL TX beams. In one example, the DL TX beams for both control (PDCCH) and data (PDSCH) are the same, which is one of the  $M$  DL TX beams. An illustration of the DL beam indication according to this embodiment is shown in FIGURE 14.

[183] FIGURE 15 illustrates example beam indication mechanisms 1500. The embodiment of the example beam indication mechanisms 1500 illustrated in FIGURE 15 is for illustration only. FIGURE 15 does not limit the scope of this disclosure to any particular implementation of the example beam indication mechanisms 1500.

[184] In one sub-embodiment 1.2.4, a UE is configured with a beam indication indicating a set of  $M$  DL TX beams, e.g., as in sub-embodiments 1.2.1, 1.2.2, and 1.2.3 (e.g., via a TCI state mechanism), wherein the beam indication is a function of the (time) slot/subframe

[185] ● In one example 1.2.4.1, DL TX beam #0 is indicated for a DL slot/subframe  $x$ , DL TX beam #1 is indicated for a DL slot/subframe  $x+1$ , DL TX beam #2 is indicated for a DL slot/subframe  $x+2$ , and so on.

[186] ● In one example 1.2.4.2, DL TX beam #0 is indicated for DL slots/subframes  $x, x+1, \dots, x+y-1$ , DL TX beam #1 is indicated for DL slots/subframes  $x+y, x+y+1, \dots, x+2y-1$ , DL TX beam #2 is indicated for a DL slots/subframes  $x+2y, x+2y+1, \dots, x+3y-1$ , and so on.

[187] Here,  $x$  is a reference slot/subframe and  $y$  is a slot/subframe offset for DL beam switching. In one example,  $x$  can be fixed. Alternatively,  $x$  can be a function of UE speed. Alternatively,  $x$  can be configured. Alternatively,  $x$  can be reported by the UE. In another example,  $y$  can be fixed. Alternatively,  $y$  can be a function of UE speed. Alternatively,  $y$  can be configured. Alternatively,  $y$  can be reported by the UE. An illustration of the DL TX beams for the two examples is shown in FIGURE 15.

[188] Case: when reference RSs can be measured (hence can be measurement RSs)

[189] FIGURE 16 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1600. The embodiment of determining and measuring a subset of  $K'$  reference

RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1600 illustrated in FIGURE 16 is for illustration only. FIGURE 16 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1600.

[190] In one embodiment (1.3), a UE is configured to receive a beam (TCI state) indication indicating a set of  $M$  DL TX beams (where  $M \geq 1$ ) in a time slot, say  $T_1$ , wherein each DL TX beam (or TCI state) corresponds to (or associated with) a reference RS (such as NZP CSI-RS or SSB or SRS). The UE is further configured to use the set of  $M$  DL TX beams (or the beam indication) to determine a subset of  $K'$  reference RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where

$K' < K$  or  $K' \leq K$ , and the subset of  $K'$  reference RSs are determined from (or based on) the set of  $K$  reference RSs configured for beam measurement, as described earlier in this disclosure. Note that the value of  $M$  can be one or more than one. An illustration of determining and measuring a subset of  $K'$  reference RSs from (or based on) the set of  $K$  reference RSs based on the beam indication in a prior slot is shown in FIGURE 16. The subset of  $K'$  reference RSs can be associated (linked) with a beam reporting. This association and the beam reporting can be configured via higher layer (e.g., parameter CSI-ReportConfig), and the beam indication can trigger/activate the beam reporting.

[191] In one example, the beam indication can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, the beam indication is via MAC CE. In one example, the beam indication can be via both DCI and MAC CE.

[192] ● When the beam indication is via DCI (or a combination of DCI and MAC CE), then the beam indication triggers (an aperiodic) beam reporting based on beam measurement, where the beam reporting comprises one or multiple pairs of (A, B), A corresponds to L1-RSRP or L1-SINR and B corresponds to CRI or SSBRI (as described in the disclosure). The beam measurement is based on a set of measurement RSs (CSI-RSs and/or SSBs), which is higher layer configured. Alternatively, the beam measurement is based on a set of measurement RSs (CSI-RSs and/or SSBs), which is selected via a MAC CE activation (from a pool of measurement RSs configured via higher layer).

[193] ● When the beam indication is via MAC CE, then the beam indication activates (an aperiodic or semi-persistent) beam measurement and beam reporting, where the beam reporting comprises one or multiple pairs of (A, B), A corresponds to L1-RSRP or L1-SINR and B corresponds to CRI or SSBRI (as described in the disclosure).

- [194] In one sub-embodiment 1.3.1, the beam indication in time slot  $T_1$  can be for at least one of the following usages (purpose).
- [195] ● (A) narrowing down (reducing) the number of reference RSs (beams) for beam measurement in later slot  $T_2$ .
- [196] ● (B) DL reception of PDCCH and/or PDSCH in another slot  $T_3$ . Note  $T_3$  can be equal to  $T_2$ .
- [197] ● both (A) and (B).
- [198] In one example, the usage of the beam indication is fixed (e.g., both (A) and (B)). In one example, the usage of the beam indication is configured via RRC and/or MAC CE and/or DCI.
- [199] At least one of the following examples is used/configured for determining the usage (purpose) of the beam indication.
- [200] In one example 1.3.1.1, the usage of the beam indication can be determined based on an explicit parameter (or flag or code point) or signaling that is separate from the parameter or field or code point for the beam indication. This parameter (or flag) could be configured via RRC, or MAC CE or DCI. At least one of the following examples can be used/configured.
- [201] ● In one example, when the explicit parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g., > 0 or 1 or other than v0), it indicates that the beam indication is for (B).
- [202] ● In one example, when the explicit parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g., > 0 or 1 or other than v0), it indicates that the beam indication is for both (A) and (B).
- [203] ● In one example, when the explicit parameter (or flag) takes a first value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes a second value (e.g., 1 or v1), it indicates that the beam indication is for (B). When the parameter (or flag) takes another (third) value (e.g., > 1 or 2 or other than v0 and v1), it indicates that the beam indication is for both (A) and (B).
- [204] In one example 1.3.1.2, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.
- [205] ● In one example, when the beam indication parameter or code point takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g., > 0 or other than v0), it indicates that the beam indication is for (B).

- [206]     ● In one example, when the beam indication parameter or code point takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g., > 0 or other than v0), it indicates that the beam indication is for both (A) and (B).
- [207]     ● In one example, when the beam indication parameter or code point takes a first value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a second value (e.g., 1 or v1), it indicates that the beam indication is for (B). When the beam indication parameter or code point takes other value(s) (e.g., > 1 or other than v0 and v1), it indicates that the beam indication is for both (A) and (B).
- [208]     Alternatively, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.
- [209]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). The first and second sets of values can be fixed or configured, e.g., via higher layer RRC and/or MAC CE and/or DCI based signaling.
- [210]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for both (A) and (B).
- [211]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). When the beam indication parameter or code point takes a value from a third set of values, it indicates that the beam indication is for both (A) and (B).
- [212]     In one example 1.3.1.3, the usage of the beam indication can be determined based on an explicit parameter (or flag), as explained in example 1.3.1.1 or beam indication itself, as explained in example 1.3.1.2. This determination can be based on an explicit signaling (configuration). For example, when the explicit parameter (flag) is provided (e.g., via higher layer), then the usage of the beam indication can be determined based on example 1.3.1.1; otherwise (when the explicit parameter is not provided), then the usage of the beam indication can be determined based on example 1.3.1.2.
- [213]     In one sub-embodiment 1.3.2, the subset of  $K'$  reference RSs is determined/configured according to at least one of the following examples.
- [214]     In one example 1.3.2.1, the subset of  $K'$  reference RSs is determined based on the

beam indication and/or the set of  $K$  reference RSs, without any explicit signaling. For example, the subset of  $K'$  reference RSs can be derived implicitly from the  $M$  beams indicated via the beam indication. In one example,  $K'=M$  and the subset of  $K'$  reference RSs corresponds to  $M$  beams indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  reference RSs, and the subset of  $K'$  reference RSs corresponds to an aggregate (or superset) of all  $k'$  reference RSs associated with the  $M$  beams indicated via the beam indication. The mapping (or association) between a TCI state and  $k' \geq 1$  reference RSs can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling. In one example, the subset of  $K'$  reference RSs corresponds to CSI-RS/SSB resource(s) and they are included/signaled in the TCI state update signaling (in the beam indication). For each possible TCI state value, a set of candidate measurement RS(s) can be pre-configured via RRC and/or MAC CE, but the beam indication is used to select from those pre-configured candidate sets.

- [215] In one example 1.3.2.2, the subset of  $K'$  reference RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  reference RSs), wherein the explicit signaling indicates the subset of  $K'$  reference RSs. For example, the subset of  $K'$  reference RSs can be explicitly signaled via RRC and/or MAC CE and/or DCI. In one example, the subset of  $K'$  reference RSs corresponds to CSI-RS/SSB resource(s), and for each possible TCI state value, a set of candidate measurement RS(s) can be configured via RRC and/or MAC CE. Hence there is no need for additional signaling together with the beam indication.
- [216] In one example 1.3.2.3, the subset of  $K'$  reference RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  reference RSs), wherein the explicit signaling includes the value of  $K'$  (not the  $K'$  subset). The subset comprising  $K'$  reference RSs is determined based on the signaled value of  $K'$ . In one example,  $K' \leq M$  and the subset of  $K'$  reference RSs corresponds to  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  reference RSs, and the subset of  $K'$  reference RSs corresponds to an aggregate (or superset) of all  $k''$  reference RSs associated with  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. The mapping (or association) between a TCI state and  $k' \geq 1$  reference RSs can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling.
- [217] In one sub-embodiment 1.3.3, the set of  $K$  reference RSs can be partitioned into  $L$

subsets (or sets), that are either used for beam measurement or that are associated with  $L$  subsets (or sets) of measurement RSs. When the beam indication is used for the purpose of beam measurement, as described above, then a number  $l < L$  or  $l \leq L$  subsets (or sets) can be selected/determined for this beam measurement. The association between  $K$  reference RSs and  $L$  subsets (or sets) can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling.

- [218] The value of  $l$  can be fixed (e.g.,  $l = 1$ ). Alternatively, the value of  $l$  can be configured via RRC and/or MAC CE and/or DCI.
- [219] In one example, when  $l = 1$ , the subset of  $K'$  reference RSs for beam measurement comprises a set (or subset) with an index  $i+1$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.
- [220] In one example, when  $l = 2$ , the subset of  $K'$  reference RSs for beam measurement comprises (a union of) two sets (or subsets) with indices  $(i+1, i+2)$  or  $(i, i+1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.
- [221] In one example, the subset of  $K'$  reference RSs for beam measurement comprises (a union of)  $l$  sets (or subsets) with indices  $(i+1, \dots, i+l)$  or  $(i, i+l-1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.
- [222] In one sub-embodiment 1.3.4, the beam measurement is based on the set of  $K$  reference RSs or the subset of  $K'$  reference RSs depending on whether the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of reference RSs (beams) for beam measurement. When the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of reference RSs (beams) for beam measurement, the UE uses the subset of  $K'$  reference RSs for beam measurement; otherwise, the UE uses the set of  $K$  reference RSs for beam measurement.
- [223] In one sub-embodiment 1.3.5, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.

- [224] In one sub-embodiment 1.3.6, the UE is configured with UL resource(s) such as PUCCH and/or PUSCH for the beam reporting according to at least one of the following examples. In one example, the UL resource(s) includes PUCCH resource ID (together with a UL BWP ID) and/or slot offset parameter. For PUSCH, the UL resource(s) can be included/indicated via the DCI granting PUSCH transmission.
- [225] In one example 1.3.6.1, the UL resource(s) for beam reporting is configured via RRC and/or MAC CE. There is no additional signaling with the beam indication.
- [226] In one example 1.3.6.2, the UL resource(s) for beam reporting is included in the TCI state update signaling (or beam indication).
- [227] In one example 1.3.6.3, a portion of the information about the UL resource(s) for beam reporting is included in the TCI state update signaling (or beam indication), and the remaining portion can be signaled separately (from the beam indication) via RRC and/or MAC CE.
- [228] FIGURE 17 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1700. The embodiment of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1700 illustrated in FIGURE 17 is for illustration only. FIGURE 17 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 1700.
- [229] In one embodiment (1.4), which is a variation of embodiment (1.3), a UE is configured to receive an indication (which is not the beam indication as described in embodiment (1.3) or a configuration  $(I)$  in a time slot, say  $T_1$ , for determining a subset of  $K'$  reference RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$  and the subset of  $K'$  reference RSs are determined from the set of  $K$  reference RSs configured for beam measurement, as described earlier in this disclosure. An illustration of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot is shown in FIGURE 17.
- [230] In one example, this indication/configuration  $(I)$  can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, this indication/configuration  $(I)$  is via MAC CE. In one example, this indication/configuration  $(I)$  can be via both DCI and MAC CE.
- [231] The subset of  $K'$  reference RSs is determined/configured according to at least one of examples 1.3.2.1 through 1.3.2.3 or sub-embodiment 1.3.3.

- [232] In one sub-embodiment 1.4.1, the beam measurement is based on the set of  $K$  reference RSs or the subset of  $K'$  reference RSs depending on whether the UE is configured/indicated with the indication/configuration  $(I)$  for narrowing down (reducing) the number of reference RSs (beams) for beam measurement. When the UE is configured/indicated with the indication/configuration  $(I)$  for narrowing down (reducing) the number of reference RSs (beams) for beam measurement, the UE uses the subset of  $K'$  reference RSs for beam measurement; otherwise, the UE uses the set of  $K$  reference RSs for beam measurement.
- [233] In one sub-embodiment 1.4.2, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.
- [234] Case: when reference RSs is separate from measurement RSs
- [235] FIGURE 18 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1800. The embodiment of determining and measuring a subset of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1800 illustrated in FIGURE 18 is for illustration only. FIGURE 18 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a subset of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1800.
- [236] In one embodiment (1.3A), a UE is configured to receive a beam (TCI state) indication indicating a set of  $M$  DL TX beams (where  $M \geq 1$ ) in a time slot, say  $T_1$ , wherein each DL TX beam (or TCI state) corresponds to (or associated with) a reference RS (such as NZP CSI-RS or SSB or SRS). The UE is further configured to use the set of  $M$  DL TX beams (or the beam indication) to determine a set of  $K'$  measurement RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$ , and the set of  $K'$  measurement RSs are determined from (or based on) the set of  $K$  measurement RSs configured for beam measurement, as described earlier in this disclosure. Note that the value of  $M$  can be one or more than one. An illustration of determining and measuring a set of  $K'$  measurement RSs from (or based on) the set of  $K$  measurement RSs based on the beam indication in a prior slot is shown in FIGURE 18. The set of  $K'$  measurement RSs can be associated (linked) with a beam reporting. This association and the beam reporting can be

configured via higher layer (e.g., parameter CSI-ReportConfig), and the beam indication can trigger/activate the beam reporting.

- [237] In one example, the beam indication can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, the beam indication is via MAC CE. In one example, the beam indication can be via both DCI and MAC CE.
- [238] ● When the beam indication is via DCI (or a combination of DCI and MAC CE), then the beam indication triggers (an aperiodic) beam reporting based on beam measurement, where the beam reporting comprises one or multiple pairs of (A, B), A corresponds to L1-RSRP or L1-SINR and B corresponds to CRI or SSRI (as described in the disclosure). The beam measurement is based on a set of measurement RSs (CSI-RSs and/or SSBs), which is higher layer configured. Alternatively, the beam measurement is based on a set of measurement RSs (CSI-RSs and/or SSBs), which is selected via a MAC CE activation (from a pool of measurement RSs configured via higher layer).
- [239] ● When the beam indication is via MAC CE, then the beam indication activates (an aperiodic or semi-persistent) beam measurement and beam reporting, where the beam reporting comprises one or multiple pairs of (A, B), A corresponds to L1-RSRP or L1-SINR and B corresponds to CRI or SSRI (as described in the disclosure).
- [240] In one sub-embodiment 1.3A.1, the beam indication in time slot  $T_1$  can be for at least one of the following usages (purpose).
- [241] ● (A) narrowing down (reducing) the number of measurement RSs (beams) for beam measurement in later slot  $T_2$ .
- [242] ● (B) DL reception of PDCCH and/or PDSCH in another slot  $T_3$ . Note  $T_3$  can be equal to  $T_2$ .
- [243] ● both (A) and (B).
- [244] In one example, the usage of the beam indication is fixed (e.g., both (A) and (B)). In one example, the usage of the beam indication is configured via RRC and/or MAC CE and/or DCI.
- [245] At least one of the following examples is used/configured for determining the usage (purpose) of the beam indication.
- [246] In one example 1.3A.1.1, the usage of the beam indication can be determined based on an explicit parameter (or flag or code point) or signaling that is separate from the parameter or field or code point for the beam indication. This parameter (or flag) could be configured via RRC, or MAC CE or DCI. At least one of the following examples can be used/configured.
- [247] ● In one example, when the explicit parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes

another value (e.g.,  $> 0$  or  $1$  or other than  $v_0$ ), it indicates that the beam indication is for (B).

[248] ● In one example, when the explicit parameter (or flag) takes a value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g.,  $> 0$  or  $1$  or other than  $v_0$ ), it indicates that the beam indication is for both (A) and (B).

[249] ● In one example, when the explicit parameter (or flag) takes a first value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the parameter (or flag) takes a second value (e.g.,  $1$  or  $v_1$ ), it indicates that the beam indication is for (B). When the parameter (or flag) takes another (third) value (e.g.,  $> 1$  or  $2$  or other than  $v_0$  and  $v_1$ ), it indicates that the beam indication is for both (A) and (B).

[250] In one example 1.3A.1.2, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.

[251] ● In one example, when the beam indication parameter or code point takes a value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 0$  or other than  $v_0$ ), it indicates that the beam indication is for (B).

[252] ● In one example, when the beam indication parameter or code point takes a value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 0$  or other than  $v_0$ ), it indicates that the beam indication is for both (A) and (B).

[253] ● In one example, when the beam indication parameter or code point takes a first value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a second value (e.g.,  $1$  or  $v_1$ ), it indicates that the beam indication is for (B). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 1$  or other than  $v_0$  and  $v_1$ ), it indicates that the beam indication is for both (A) and (B).

[254] Alternatively, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.

[255] ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). The first and second sets of values can be fixed or configured, e.g., via higher layer RRC and/or MAC CE and/or DCI based signaling.

[256] ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the

beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for both (A) and (B).

- [257] ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). When the beam indication parameter or code point takes a value from a third set of values, it indicates that the beam indication is for both (A) and (B).
- [258] In one example 1.3A.1.3, the usage of the beam indication can be determined based on an explicit parameter (or flag), as explained in example 1.3.1.1 or beam indication itself, as explained in example 1.3A.1.2. This determination can be based on an explicit signaling (configuration). For example, when the explicit parameter (flag) is provided (e.g., via higher layer), then the usage of the beam indication can be determined based on example 1.3A.1.1; otherwise (when the explicit parameter is not provided), then the usage of the beam indication can be determined based on example 1.3A.1.2.
- [259] In one sub-embodiment 1.3A.2, the set of  $K'$  measurement RSs is determined/configured according to at least one of the following examples.
- [260] In one example 1.3A.2.1, the set of  $K'$  measurement RSs is determined based on the beam indication and/or the set of  $K$  measurement RSs, without any explicit signaling. For example, the set of  $K'$  measurement RSs can be derived implicitly from the  $M$  beams indicated via the beam indication. In one example,  $K'=M$  and the set of  $K'$  measurement RSs corresponds to  $M$  beams indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  measurement RSs, and the set of  $K'$  measurement RSs corresponds to an aggregate (or superset) of all  $k'$  measurement RSs associated with the  $M$  beams indicated via the beam indication. The mapping (or association) between a TCI state and  $k' \geq 1$  measurement RSs can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling. In one example, the set of  $K'$  measurement RSs corresponds to CSI-RS/SSB resource(s) and they are included/signaled in the TCI state update signaling (in the beam indication). For each possible TCI state value, a set of candidate measurement RS(s) can be pre-configured via RRC and/or MAC CE, but the beam indication is used to select from those pre-configured candidate sets.
- [261] In one example 1.3A.2.2, the set of  $K'$  measurement RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  measurement RSs), wherein the explicit signaling indicates the set of  $K'$  measurement RSs. For example, the set of  $K'$  measurement RSs can be explicitly signaled via RRC and/or

MAC CE and/or DCI. In one example, the set of  $K'$  measurement RSs corresponds to CSI-RS/SSB resource(s), and for each possible TCI state value, a set of candidate measurement RS(s) can be configured via RRC and/or MAC CE. Hence there is no need for additional signaling together with the beam indication.

[262] In one example 1.3A.2.3, the  $K$  measurement RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  measurement RSs), wherein the explicit signaling includes the value of  $K'$  (not the  $K'$  subset). The subset comprising  $K'$  measurement RSs is determined based on the signaled value of  $K'$ . In one example,  $K' \leq M$  and the set of  $K'$  measurement RSs corresponds to  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  measurement RSs, and the set of  $K'$  measurement RSs corresponds to an aggregate (or superset) of all  $k'$  measurement RSs associated with  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. The mapping (or association) between a TCI state and  $k' \geq 1$  measurement RSs can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling.

[263] In one sub-embodiment 1.3A.3, the set of  $K$  measurement RSs can be partitioned into  $L$  subsets (or sets), that are either used for beam measurement or that are associated with  $L$  subsets (or sets) of measurement RSs. When the beam indication is used for the purpose of beam measurement, as described above, then a number  $l < L$  or  $l \leq L$  subsets (or sets) can be selected/determined for this beam measurement. The association between  $K$  measurement RSs and  $L$  subsets (or sets) can be configured via higher layer (RRC) and/or MAC CE and/or DCI based signaling.

[264] The value of  $l$  can be fixed (e.g.,  $l = 1$ ). Alternatively, the value of  $l$  can be configured via RRC and/or MAC CE and/or DCI.

[265] In one example, when  $l = 1$ , the set of  $K'$  measurement RSs for beam measurement comprises a set (or subset) with an index  $i + 1$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.

[266] In one example, when  $l = 2$ , the set of  $K'$  measurement RSs for beam measurement comprises (a union of) two sets (or subsets) with indices  $(i + 1, i + 2)$  or  $(i, i + 1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.

- [267] In one example, the set of  $K'$  measurement RSs for beam measurement comprises (a union of)  $L$  sets (or subsets) with indices  $(i+1, \dots, i+L)$  or  $(i, i+L-1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.
- [268] In one sub-embodiment 1.3A.4, the beam measurement is based on the set of  $K$  measurement RSs or the set of  $K'$  measurement RSs depending on whether the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement. When the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement, the UE uses the set of  $K'$  measurement RSs for beam measurement; otherwise, the UE uses the set of  $K$  measurement RSs for beam measurement.
- [269] In one sub-embodiment 1.3A.5, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.
- [270] In one sub-embodiment 1.3A.6, the UE is configured with UL resource(s) such as PUCCH and/or PUSCH for the beam reporting according to at least one of the following examples. In one example, the UL resource(s) includes PUCCH resource ID (together with a UL BWP ID) and/or slot offset parameter. For PUSCH, the UL resource(s) can be included/indicated via the DCI granting PUSCH transmission.
- [271] In one example 1.3A.6.1, the UL resource(s) for beam reporting is configured via RRC and/or MAC CE. There is no additional signaling with the beam indication.
- [272] In one example 1.3A.6.2, the UL resource(s) for beam reporting is included in the TCI state update signaling (or beam indication).
- [273] In one example 1.3A.6.3, a portion of the information about the UL resource(s) for beam reporting is included in the TCI state update signaling (or beam indication), and the remaining portion can be signaled separately (from the beam indication) via RRC and/or MAC CE.
- [274] FIGURE 19 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1900. The embodiment of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1900 illustrated in FIGURE 19 is for illustration only. FIGURE 19 does not limit the scope of this disclosure to any particular implementation of the example of

determining and measuring a subset of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 1900.

- [275] In one embodiment (1.4A), which is a variation of embodiment (1.3A), a UE is configured to receive an indication (which is not the beam indication as described in embodiment (1.3A) or a configuration  $(I)$  in a time slot, say  $T_1$ , for determining a set of  $K'$  measurement RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$  and the set of  $K'$  measurement RSs are determined from the set of  $K$  measurement RSs configured for beam measurement, as described earlier in this disclosure. An illustration of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot is shown in FIGURE 19.
- [276] In one example, this indication/configuration  $(I)$  can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, this indication/configuration  $(I)$  is via MAC CE. In one example, this indication/configuration  $(I)$  can be via both DCI and MAC CE.
- [277] The set of  $K'$  measurement RSs is determined/configured according to at least one of examples 1.3A.2.1 through 1.3A.2.3 or sub-embodiment 1.3A.3.
- [278] In one sub-embodiment 1.4A.1, the beam measurement is based on the set of  $K$  measurement RSs or the set of  $K'$  measurement RSs depending on whether the UE is configured/indicated with the indication/configuration  $(I)$  for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement. When the UE is configured/indicated with the indication/configuration  $(I)$  for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement, the UE uses the set of  $K'$  measurement RSs for beam measurement; otherwise, the UE uses the set of  $K$  measurement RSs for beam measurement.
- [279] In one sub-embodiment 1.4A.2, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.
- [280] Component 2 - UL beam measurement and training
- [281] If mobility profile (e.g., speed) of a UE is predictable (e.g., based on SRS at gNB or based on CSI-RS at UE), then instead of indicating a single TX beam (e.g., via DL beam indication) or reporting a single beam (via beam report), the beam indication or beam reporting can refer to a set of TX beam. In this disclosure, sub-embodiments 2.1 and 2.2 (as described below) are proposed wherein the beam indication indicating a set

of TX beams are used to narrow down (reduce) the number of candidate reference RSs (beams) for beam measurement and training in a later time slot.

- [282] In one embodiment (2), the UL BM procedures include mechanism to facilitate indicating and/or reporting a set of UL TX beams via a single beam indication and/or beam reporting. Similar to DL (cf. embodiment (1)), the UL BM procedures include the following three essential steps: (S1) beam measurement, (S2) beam reporting, and (S3) beam indication.
- [283] For beam measurement (S1), a set of  $K$  reference RSs can be configured for measurement via higher-layer (such as RRC) signaling to a UE. If beam correspondence does not hold, the  $K$  reference RSs can be SRS, UL DMRS, or any combination of those. For example, this set can be composed of SRS only. Alternatively, it can be composed of UL DMRS only. Alternatively, it can be composed of a combination of SRS and UL DMRS. If beam correspondence holds, the  $K$  reference RSs can be NZP CSI-RS, SSB, DL DMRS, SRS, UL DMRS, or any combination of those. Each reference RS can be associated with a resource ID of the particular type of RS. Optionally, each reference RS can also be associated with an entity ID of a particular type of radio resource (RR) entity, which the reference RS belongs to (or transmitted from). A few examples of the RR entity include at least one or a combination of UL entities such as antenna panel, resource set, and port.
- [284] In one example, a reference RS can be associated with a TX beam or spatial domain filter, which NW/gNB (for DL RS) or UE (for UL RS) uses to beamform/precoder the reference RS before its transmission. The choice of the TX beam or spatial domain filter is up to the NW/gNB (for DL RS) or UE (for UL RS).
- [285] At least one of the following alternatives can be used for beam reporting (S2) and UL beam indication (S3).
- [286] In one alternative Alt 2.1, both beam reporting (S2) and UL beam indication (S3) correspond to a single UL TX beam (similar to NR BM). For beam reporting (S2), the UE is configured to use a subset or all of the configured  $K$  reference RSs to determine one beam report comprising a beam metric and/or a resource indicator. For UL beam indication (S3), the Rel.NR TCI-based mechanism can be reused. The TCI-based mechanism links/associates one of the  $K$  reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).
- [287] In one alternative Alt 2.2, beam reporting (S2) corresponds to a single UL TX beam (similar to NR BM), and UL beam indication (S3) corresponds to a set of  $M > 1$  UL TX beams  $m=0, 1, 2, \dots, M-1$ . For beam reporting (S2), the procedures as in Alt 2.1 is used. For beam indication (S3), the NR TCI-based mechanism can be reused to link/

associate  $M$  out of the  $K$  reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).

- [288] In one alternative Alt 2.3, beam reporting (S2) corresponds to a set of  $N > 1$  UL TX beams  $n=0, 1, 2, \dots, N-1$ , and UL beam indication (S3) corresponds to a single UL TX beam (similar to NR BM). For beam indication (S3), the procedures as in Alt 2.1 is used. For beam reporting (S2), the UE is configured to use a subset or all of the configured  $K$  reference RSs to determine  $N$  beam reports, where each beam report comprises a beam metric and/or a resource indicator.
- [289] In one alternative Alt 2.4, beam reporting (S2) corresponds to a set of  $N > 1$  UL TX beams  $n=0, 1, 2, \dots, N-1$ , and UL beam indication (S3) corresponds to a set of  $M > 1$  UL TX beams  $m=0, 1, 2, \dots, M-1$ . For beam reporting (S2), the UE is configured to use a subset or all of the configured  $K$  reference RSs to determine  $N$  beam reports, where each beam report comprises a beam metric and/or a resource indicator. For beam indication (S3), the NR TCI-based mechanism can be reused to link/associate  $M$  out of the  $K$  reference RSs to a particular TCI state for a channel (or another/target RS). Such association can take form of the QCL TypeD, which represents a spatial relation or spatial domain filter (or beam or precoder).
- [290] In one example, the beam metric is a L1-RSRP which indicates power level of a reference RS. In another example, the beam metric is a L1-SINR which indicates a ratio of signal power and (noise plus) interference power, where the signal power is determined using a reference RS and the interference power is determined using a ZP CSI-RS resource and/or NZP CSI-RS resource configured to the UE for interference measurement. In one example, the resource indicator is a CRI indicating a CSI-RS resource. In another example, the resource indicator is a SSBRI indicating a SSB resource. In another example, the resource indicator is a SRI indicating a SRS resource. In one example, the resource indicator indicates both a reference RS and an RR entity that the reference RS belongs to or transmitted from (cf. for BM management based intra- or inter-cell mobility scenarios).
- [291] For UL beam indication, three relevant channels include PRACH, PUSCH, and PUCCH (and examples of another/target RS include UL DMRS, CSI-RS, SSB, SRS, UL DMRS). Similar to Rel.15/16 NR, a set of TCI states can be configured via higher-layer (RRC) signaling. Optionally, a set of TCI states can be configured via MAC CE. Optionally, a subset of the TCI states can be activated or selected either via MAC CE or L1 control signaling (via either UE-group DCI where a set of UEs share a same TCI state subset, or UE-specific/dedicated DCI). This subset constitutes the TCI states represented by the code points of the TCI field in the corresponding DCI. This update/

activation can be performed in either one shot or incrementally. The TCI state indicated by the code point of the TCI field is a reference to the TX beam or the TX spatial filter associated with a reference RS. For UL, given such a reference, the UE can further derive the RX beam or RX spatial filter. The DCI that includes the TCI field (which can be either DL-related DCI or UL-related DCI) performs the function of the so-called "beam indication".

- [292] FIGURE 13 illustrates beam reporting and beam indication according to Alt 2.1 through Alt 2.4, wherein for Alt 2.1 and Alt 2.3, a TCI state includes a TCI state ID and a QCL-Info parameter indicating a single UL TX beam. For Alt 2.2 and Alt 2.4, three alternatives are provided for  $M > 1$  UL TX beam indication.
- [293] ● Alt S3-A: a TCI state includes a TCI state ID and a set of QCL-Info parameters for  $M$  UL TX beams.
- [294] ● Alt S3-B: a set of TCI states where each TCI state includes a TCI state ID and a QCL-Info parameter indicating a single UL TX beam.
- [295] ● Alt S3-C: a set of  $P$  TCI states where each TCI state includes a TCI state ID and a set of QCL-Info parameters for  $Q$  UL TX beams, and  $P \times Q = M$ .
- [296] A QCL-Info parameter includes a resource ID, and optionally, an entity ID (e.g., cell ID) of a reference RS (from  $K$  reference RSs), and a QCL-Type, e.g., QCL TypeD.
- [297] FIGURE 20 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2000. The embodiment of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2000 illustrated in FIGURE 20 is for illustration only. FIGURE 20 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2000.
- [298] In one embodiment (2.1), a UE is configured to receive a beam (TCI state) indication indicating a set of  $M$  UL TX beams ( $M \geq 1$ ) in a time slot, say  $T_1$ , wherein each UL TX beam corresponds to (or associated with) a reference RS (such as NZP CSI-RS or SSB or SRS). The UE is further configured to use the set of  $M$  UL TX beams (or the beam indication) to determine a subset of  $K'$  reference RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$ , and the subset of  $K'$  reference RSs are determined from (or based on) the set of  $K$  reference RSs configured for beam measurement, as described earlier in this disclosure. Note that the value of  $M$  can be one or more than one. An illustration of determining and

measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot is shown in FIGURE 20.

- [299] In one example, the beam indication can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, the beam indication is via MAC CE. In one example, the beam indication can be via both DCI and MAC CE.
- [300] In one sub-embodiment 2.1.1, the beam indication in time slot  $T_1$  can be for at least one of the following usages (purpose).
- [301] ● (A) narrowing down (reducing) the number of reference RSs (beams) for beam measurement in later slot  $T_2$ .
- [302] ● (B) UL transmission of PUCCH and/or PUSCH and/or PRACH in another slot  $T_3$ . Note  $T_3$  can be equal to  $T_2$ .
- [303] ● both (A) and (B).
- [304] In one example, the usage of the beam indication is fixed (e.g., both (A) and (B)). In one example, the usage of the beam indication is configured via RRC and/or MAC CE and/or DCI.
- [305] At least one of the following examples is used/configured for determining the usage (purpose) of the beam indication.
- [306] In one example 2.1.1.1, the usage of the beam indication can be determined based on an explicit parameter (or flag). This parameter (or flag) could be configured via RRC, or MAC CE or DCI. At least one of the following examples can be used/configured.
- [307] ● In one example, when the parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g., > 0 or 1 or other than v0), it indicates that the beam indication is for (B).
- [308] ● In one example, when the parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g., > 0 or 1 or other than v0), it indicates that the beam indication is for both (A) and (B).
- [309] ● In one example, when the parameter (or flag) takes a first value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes a second value (e.g., 1 or v1), it indicates that the beam indication is for (B). When the parameter (or flag) takes another (third) value (e.g., > 1 or 2 or other than v0 and v1), it indicates that the beam indication is for both (A) and (B).
- [310] In one example 2.1.1.2, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.

- [311]     ● In one example, when the beam indication parameter or code point takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g., > 0 or other than v0), it indicates that the beam indication is for (B).
- [312]     ● In one example, when the beam indication parameter or code point takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g., > 0 or other than v0), it indicates that the beam indication is for both (A) and (B).
- [313]     ● In one example, when the beam indication parameter or code point takes a first value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a second value (e.g., 1 or v1), it indicates that the beam indication is for (B). When the beam indication parameter or code point takes other value(s) (e.g., > 1 or other than v0 and v1), it indicates that the beam indication is for both (A) and (B).
- [314]     Alternatively, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.
- [315]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). The first and second sets of values can be fixed or configured, e.g., via higher layer RRC and/or MAC CE and/or DCI based signaling.
- [316]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for both (A) and (B).
- [317]     ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). When the beam indication parameter or code point takes a value from a third set of values, it indicates that the beam indication is for both (A) and (B).
- [318]     In one example 2.1.1.3, the usage of the beam indication can be determined based on an explicit parameter (or flag), as explained in example 2.1.1.1 or beam indication itself, as explained in example 2.1.1.2. This determination can be based on an explicit signaling (configuration). For example, when the explicit parameter (flag) is provided (e.g., via higher layer), then the usage of the beam indication can be determined based on example 2.1.1.1; otherwise (when the explicit parameter is not provided), then the

usage of the beam indication can be determined based on example 2.1.1.2.

[319] In one sub-embodiment 2.1.2, the subset of  $K'$  reference RSs is determined/configured according to at least one of the following examples.

[320] In one example 2.1.2.1, the subset of  $K'$  reference RSs is determined based on the beam indication and/or the set of  $K$  reference RSs, without any explicit signaling. For example, the subset of  $K'$  reference RSs can be derived implicitly from the  $M$  beams indicated via the beam indication. In one example,  $K'=M$  and the subset of  $K'$  reference RSs corresponds to  $M$  beams indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  reference RSs, and the subset of  $K'$  reference RSs corresponds to an aggregate (or superset) of all  $k'$  reference RSs associated with the  $M$  beams indicated via the beam indication.

[321] In one example 2.1.2.2, the subset of  $K'$  reference RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  reference RSs), wherein the explicit signaling indicates the subset of  $K'$  reference RSs. For example, the subset of  $K'$  reference RSs can be explicitly signaled via RRC and/or MAC CE and/or DCI.

[322] In one example 2.1.2.3, the subset of  $K'$  reference RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  reference RSs), wherein the explicit signaling the value of  $K'$  (not the  $K'$  subset). The subset comprising  $K'$  reference RSs is determined based on the signaled value of  $K'$ . In one example,  $K' \leq M$  and the subset of  $K'$  reference RSs corresponds to  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  reference RSs, and the subset of  $K'$  reference RSs corresponds to an aggregate (or superset) of all  $k'$  reference RSs associated with  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication.

[323] In one sub-embodiment 2.1.3, the set of  $K$  reference RSs can be partitioned into  $L$  subsets (or sets). When the beam indication is used for the purpose of beam measurement, as described above, then a number  $I < L$  or  $I \leq L$  subsets (or sets) can be selected/determined for this beam measurement.

[324] The value of  $I$  can be fixed (e.g.,  $I=1$ ). Alternatively, the value of  $I$  can be configured via RRC and/or MAC CE and/or DCI.

[325] In one example, when  $I=1$ , the subset of  $K'$  reference RSs for beam measurement comprises a set (or subset) with an index  $i+1$ , where  $i$  is an index of the subset (or

set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.

[326] In one example, when  $I=2$ , the subset of  $K'$  reference RSs for beam measurement comprises (a union of) two sets (or subsets) with indices  $(i+1, i+2)$  or  $(i, i+1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.

[327] In one example, the subset of  $K'$  reference RSs for beam measurement comprises (a union of)  $I$  sets (or subsets) with indices  $(i+1, \dots, i+I)$  or  $(i, i+I-1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of reference RSs (beams) are included in the beams indicated via the beam indication.

[328] In one sub-embodiment 2.1.4, the beam measurement is based on the set of  $K$  reference RSs or the subset of  $K'$  reference RSs depending on whether the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of reference RSs (beams) for beam measurement. When the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of reference RSs (beams) for beam measurement, the UE uses the subset of  $K'$  reference RSs for beam measurement; otherwise, the UE uses the set of  $K$  reference RSs for beam measurement.

[329] In one sub-embodiment 2.1.5, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.

[330] FIGURE 21 illustrates an example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2100. The embodiment of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2100 illustrated in FIGURE 21 is for illustration only. FIGURE 21 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot 2100.

[331] In one embodiment (2.2), which is a variation of embodiment (2.1), a UE is configured to receive an indication (which is not the beam indication as described in

embodiment (2.1)) or a configuration ( $I$ ) in a time slot, say  $T_1$ , for determining a subset of  $K'$  reference RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$  and the subset of  $K'$  reference RSs are determined from the set of  $K$  reference RSs configured for beam measurement, as described earlier in this disclosure. An illustration of determining and measuring a subset of  $K'$  reference RSs from the set of  $K$  reference RSs based on the beam indication in a prior slot is shown in FIGURE 21.

- [332] In one example, this indication/configuration ( $I$ ) can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, this indication/configuration ( $I$ ) is via MAC CE. In one example, this indication/configuration ( $I$ ) can be via both DCI and MAC CE.
- [333] The subset of  $K'$  reference RSs is determined/configured according to at least one of examples 2.1.2.1 through 2.1.2.3 or sub-embodiment 2.1.3.
- [334] In one sub-embodiment 2.2.1, the beam measurement is based on the set of  $K$  reference RSs or the subset of  $K'$  reference RSs depending on whether the UE is configured/indicated with the indication/configuration ( $I$ ) for narrowing down (reducing) the number of reference RSs (beams) for beam measurement. When the UE is configured/indicated with the indication/configuration ( $I$ ) for narrowing down (reducing) the number of reference RSs (beams) for beam measurement, the UE uses the subset of  $K'$  reference RSs for beam measurement; otherwise, the UE uses the set of  $K$  reference RSs for beam measurement.
- [335] In one sub-embodiment 2.2.2, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.
- [336] Case: when reference RSs is separate from measurement RSs
- [337] FIGURE 22 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2200. The embodiment of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2200 illustrated in FIGURE 22 is for illustration only. FIGURE 22 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2200.

- [338] In one embodiment (2.1A), a UE is configured to receive a beam (TCI state) indication indicating a set of  $M$  UL TX beams ( $M \geq 1$ ) in a time slot, say  $T_1$ , wherein each UL TX beam corresponds to (or associated with) a reference RS (such as NZP CSI-RS or SSB or SRS). The UE is further configured to use the set of  $M$  UL TX beams (or the beam indication) to determine a set of  $K'$  measurement RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$ , and the set of  $K'$  measurement RSs are determined from (or based on) the set of  $K$  measurement RSs configured for beam measurement, as described earlier in this disclosure. Note that the value of  $M$  can be one or more than one. An illustration of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot is shown in FIGURE 22.
- [339] In one example, the beam indication can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, the beam indication is via MAC CE. In one example, the beam indication can be via both DCI and MAC CE.
- [340] In one sub-embodiment 2.1A.1, the beam indication in time slot  $T_1$  can be for at least one of the following usages (purpose).
- [341] ● (A) narrowing down (reducing) the number of measurement RSs (beams) for beam measurement in later slot  $T_2$ .
- [342] ● (B) UL transmission of PUCCH and/or PUSCH and/or PRACH in another slot  $T_3$ . Note  $T_3$  can be equal to  $T_2$ .
- [343] ● both (A) and (B).
- [344] In one example, the usage of the beam indication is fixed (e.g., both (A) and (B)). In one example, the usage of the beam indication is configured via RRC and/or MAC CE and/or DCI.
- [345] At least one of the following examples is used/configured for determining the usage (purpose) of the beam indication.
- [346] In one example 2.1A.1.1, the usage of the beam indication can be determined based on an explicit parameter (or flag). This parameter (or flag) could be configured via RRC, or MAC CE or DCI. At least one of the following examples can be used/configured.
- [347] ● In one example, when the parameter (or flag) takes a value (e.g., 0 or v0), it indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g.,  $> 0$  or 1 or other than v0), it indicates that the beam indication is for (B).
- [348] ● In one example, when the parameter (or flag) takes a value (e.g., 0 or v0), it

indicates that the beam indication is for (A). When the parameter (or flag) takes another value (e.g.,  $> 0$  or  $1$  or other than  $v_0$ ), it indicates that the beam indication is for both (A) and (B).

- [349] ● In one example, when the parameter (or flag) takes a first value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the parameter (or flag) takes a second value (e.g.,  $1$  or  $v_1$ ), it indicates that the beam indication is for (B). When the parameter (or flag) takes another (third) value (e.g.,  $> 1$  or  $2$  or other than  $v_0$  and  $v_1$ ), it indicates that the beam indication is for both (A) and (B).
- [350] In one example 2.1A.1.2, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.
- [351] ● In one example, when the beam indication parameter or code point takes a value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 0$  or other than  $v_0$ ), it indicates that the beam indication is for (B).
- [352] ● In one example, when the beam indication parameter or code point takes a value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 0$  or other than  $v_0$ ), it indicates that the beam indication is for both (A) and (B).
- [353] ● In one example, when the beam indication parameter or code point takes a first value (e.g.,  $0$  or  $v_0$ ), it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a second value (e.g.,  $1$  or  $v_1$ ), it indicates that the beam indication is for (B). When the beam indication parameter or code point takes other value(s) (e.g.,  $> 1$  or other than  $v_0$  and  $v_1$ ), it indicates that the beam indication is for both (A) and (B).
- [354] Alternatively, the usage of the beam indication can be determined based on the beam indication itself. At least one of the following examples can be used/configured.
- [355] ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). The first and second sets of values can be fixed or configured, e.g., via higher layer RRC and/or MAC CE and/or DCI based signaling.
- [356] ● In one example, when the beam indication parameter or code point takes a value from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for both (A) and (B).
- [357] ● In one example, when the beam indication parameter or code point takes a value

from a first set of values, it indicates that the beam indication is for (A). When the beam indication parameter or code point takes a value from a second set of values, it indicates that the beam indication is for (B). When the beam indication parameter or code point takes a value from a third set of values, it indicates that the beam indication is for both (A) and (B).

- [358] In one example 2.1A.1.3, the usage of the beam indication can be determined based on an explicit parameter (or flag), as explained in example 2.1.1.1 or beam indication itself, as explained in example 2.1A.1.2. This determination can be based on an explicit signaling (configuration). For example, when the explicit parameter (flag) is provided (e.g., via higher layer), then the usage of the beam indication can be determined based on example 2.1A.1.1; otherwise (when the explicit parameter is not provided), then the usage of the beam indication can be determined based on example 2.1A.1.2.
- [359] In one sub-embodiment 2.1A.2, the set of  $K'$  measurement RSs is determined/configured according to at least one of the following examples.
- [360] In one example 2.1A.2.1, the set of  $K'$  measurement RSs is determined based on the beam indication and/or the set of  $K$  measurement RSs, without any explicit signaling. For example, the set of  $K'$  measurement RSs can be derived implicitly from the  $M$  beams indicated via the beam indication. In one example,  $K'=M$  and the set of  $K'$  measurement RSs corresponds to  $M$  beams indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  measurement RSs, and the set of  $K'$  measurement RSs corresponds to an aggregate (or superset) of all  $k'$  measurement RSs associated with the  $M$  beams indicated via the beam indication.
- [361] In one example 2.1A.2.2, the set of  $K'$  measurement RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  measurement RSs), wherein the explicit signaling indicates the set of  $K'$  measurement RSs. For example, the set of  $K'$  measurement RSs can be explicitly signaled via RRC and/or MAC CE and/or DCI.
- [362] In one example 2.1A.2.3, the set of  $K'$  measurement RSs is determined based on an explicit signaling (in addition to the beam indication and/or the set of  $K$  measurement RSs), wherein the explicit signaling the value of  $K'$  (not the  $K'$  subset). The subset comprising  $K'$  measurement RSs is determined based on the signaled value of  $K'$ . In one example,  $K' \leq M$  and the set of  $K'$  measurement RSs corresponds to  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication. In one example, each of the  $M$  beams maps to (is associated with)  $k' \geq 1$  measurement RSs, and the set of  $K'$  measurement RSs corresponds to an aggregate (or

superset) of all  $K'$  measurement RSs associated with  $K'$  out of  $M$  beams (e.g., beams  $1, 2, \dots, K'$  out of  $M$  beams) indicated via the beam indication.

- [363] In one sub-embodiment 2.1A.3, the set of  $K'$  measurement RSs can be partitioned into  $L$  subsets (or sets). When the beam indication is used for the purpose of beam measurement, as described above, then a number  $l < L$  or  $l \leq L$  subsets (or sets) can be selected/determined for this beam measurement.
- [364] The value of  $l$  can be fixed (e.g.,  $l = 1$ ). Alternatively, the value of  $l$  can be configured via RRC and/or MAC CE and/or DCI.
- [365] In one example, when  $l = 1$ , the set of  $K'$  measurement RSs for beam measurement comprises a set (or subset) with an index  $i+1$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.
- [366] In one example, when  $l = 2$ , the set of  $K'$  measurement RSs for beam measurement comprises (a union of) two sets (or subsets) with indices  $(i+1, i+2)$  or  $(i, i+1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.
- [367] In one example, the set of  $K'$  measurement RSs for beam measurement comprises (a union of)  $l$  sets (or subsets) with indices  $(i+1, \dots, i+l)$  or  $(i, i+l-1)$ , where  $i$  is an index of the subset (or set) indicated via the beam indication, or  $i$  is a largest index of a subset (or set), whose all or some of measurement RSs (beams) are included in the beams indicated via the beam indication.
- [368] In one sub-embodiment 2.1A.4, the beam measurement is based on the set of  $K$  measurement RSs or the set of  $K'$  measurement RSs depending on whether the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement. When the UE is configured/indicated with the usage of the beam indication for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement, the UE uses the set of  $K'$  measurement RSs for beam measurement; otherwise, the UE uses the set of  $K$  measurement RSs for beam measurement.
- [369] In one sub-embodiment 2.1A.5, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or DCI.

[370] FIGURE 23 illustrates an example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2300. The embodiment of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2300 illustrated in FIGURE 23 is for illustration only. FIGURE 23 does not limit the scope of this disclosure to any particular implementation of the example of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot 2300.

[371] In one embodiment (2.2A), which is a variation of embodiment (2.1A), a UE is configured to receive an indication (which is not the beam indication as described in embodiment (2.1A)) or a configuration ( $I$ ) in a time slot, say  $T_1$ , for determining a set of  $K'$  measurement RSs (or candidate beams) for beam measurement in a later time slot, say  $T_2$ , where  $K' < K$  or  $K' \leq K$  and the set of  $K'$  measurement RSs are determined from the set of  $K$  measurement RSs configured for beam measurement, as described earlier in this disclosure. An illustration of determining and measuring a set of  $K'$  measurement RSs from the set of  $K$  measurement RSs based on the beam indication in a prior slot is shown in FIGURE 23.

[372] In one example, this indication/configuration ( $I$ ) can be via DCI (e.g., either a DL-related DCI or a UL-related DCI or a dedicated DCI). In one example, this indication/configuration ( $I$ ) is via MAC CE. In one example, this indication/configuration ( $I$ ) can be via both DCI and MAC CE.

[373] The set of  $K'$  measurement RSs is determined/configured according to at least one of examples 2.1A.2.1 through 2.1A.2.3 or sub-embodiment 2.1A.3.

[374] In one sub-embodiment 2.2A.1, the beam measurement is based on the set of  $K$  measurement RSs or the set of  $K'$  measurement RSs depending on whether the UE is configured/indicated with the indication/configuration ( $I$ ) for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement. When the UE is configured/indicated with the indication/configuration ( $I$ ) for narrowing down (reducing) the number of measurement RSs (beams) for beam measurement, the UE uses the set of  $K'$  measurement RSs for beam measurement; otherwise, the UE uses the set of  $K$  measurement RSs for beam measurement.

[375] In one sub-embodiment 2.2A.2, a timing relation between  $T_1$  and  $T_2$  can either be fixed or configured via RRC and/or MAC CE and/or DCI. For example,  $T_2 = T_1 + k$ , where  $k$  can either be fixed (e.g., 4) or configured via RRC and/or MAC CE and/or

DCI.

- [376] As discussed above, there is a need for solutions/mechanisms which can reduce RLFs for high mobility UEs in FR2. Another solution/mechanism which can reduce RLFs for high mobility UEs in FR2, can be based on a unified TCI state (beam indication) framework wherein a *common* beam (or TCI state) is used for (associated with) the transmission/reception of both data (PDSCH/PUSCH) and control (PDCCH/PUCCH), and also for DL and UL (for example, when beam correspondence holds between DL and UL). In this *common* beam (or TCI state) based multi-beam operation, the common beam (TCI state) indication/update has to happen prior to (separately from) the transmission/reception of the control information (e.g., DL/UL-related DCI in PDCCH) scheduling a DL assignment for DL data (PDSCH) or an UL grant for UL data (PUSCH). Note that a common beam based multi-beam operation is supported in Rel. 15/16 NR beam management, wherein a common beam for DL data (PDSCH) and control (PDCCH) is indicated via a MAC CE based signaling (when the higher layer parameter *tcj-PresentInDCI* in *PDSCH-Config* is not 'enabled'). Such MAC-CE based common beam activation, however, is too sluggish due to the reasons explained above.
- [377] Since the TCI state for the data beam is updated in a time slot (or subframe) prior to the slot (or subframe) carrying the DCI scheduling the DL assignment or the UL grant, there might be some performance loss when compared with the case when the TCI state update for the data beam is performed together with the DL assignment or the UL grant. This issue can be worse for high mobility UEs which require frequent/accurate update of data beam for seamless data transmission/reception. A solution to address this issue can be based on dynamic beam indication via DCI where the DCI can be a dedicated DCI and/or a DCI scheduling DL assignment or UL grant.
- [378] In this disclosure, the dynamic beam indication for multiple component carriers (CCs) or bandwidth parts (BWP) within a CC is proposed.
- [379] In this disclosure, signaling mechanisms for enabling the above-mentioned fast (dynamic) multi-beam operations for multiple CCs (or BWPs or cells or similar radio entity) are considered. In particular, for each CC (BWP) or at least a subset of CCs (or BWPs), a common beam (TCI state) indication via a separate DCI is considered in which in the indicated beam is common for both data and control (as explained above).
- [380] In the rest of the disclosure, the term "beam", can be associated with a spatial transmission/reception of a resource signal (RS) from a "port", "antenna port", or "virtual antenna/port". Likewise, the term "transmit (TX) beam", can be associated with a spatial transmission of a resource signal (RS) or a channel from a "port", "antenna port", or "virtual antenna/port"; and the term "receive (RX) beam", can be associated with a spatial reception of a resource signal (RS) or a channel from a "port", "antenna port", or "virtual antenna/port". The spatial transmission/reception of a beam

can be in a three-dimension (3D) space. In a beam-formed wireless system, the transmission and reception of wireless signal can be via multiple TX and multiple RX beams.

[381] In this disclosure, a dynamic, L1-control or DCI based, common beam indication mechanisms are considered. For illustration, the following notation/terminology is used in this disclosure. Other terminology can also be used to represent the same functions and operations:

[382] ● a DCI indicating a common beam for data (PDSCH/PUSCH) and control (PDCCH/PUCCH) for both DL and UL is referred to as *TCI-DCI* (e.g., used when beam correspondence holds between DL and UL),

[383] ● a DCI indicating a common beam for data (PDSCH) and control (PDCCH) for DL is referred to as *DL-TCI-DCI*,

[384] ● a DCI indicating a common beam for data (PUSCH) and control (PUCCH) for UL is referred to as *UL-TCI-DCI*,

[385] ● a DCI scheduling a DL assignment is referred to as *DL-DCI*, and

[386] ● a DCI scheduling a UL grant is referred to as *UL-DCI*.

[387] The DCI format for TCI-DCI or DL-TCI-DCI or UL-TCI-DCI can be the same as that for DL-DCI (e.g. format 1\_1 and 1\_2 in NR) or UL-DCI (e.g. format 0\_0, 0\_1, and 0\_2 in NR).

[388] In U.S. Patent Application Serial No. 17/214,738 filed on March 26, 2021, the disclosure of which is incorporated by reference herein, a common beam indication for DL data (PDSCH) and DL control (PDCCH) via *DL-TCI-DCI* is proposed. An example of a dedicated DCI indicating the common beam for the reception of DL control and data 2400 is illustrated in FIGURE 24. The embodiment of the dedicated DCI indicating the common beam for the reception of DL control and data 2400 illustrated in FIGURE 24 is for illustration only. FIGURE 24 does not limit the scope of this disclosure to any particular implementation of the example of a dedicated DCI indicating the common beam for the reception of DL control and data 2400.

[389] As shown in FIGURE 24, a UE is configured to receive a dedicated DCI (DL-TCI-DCI) indicating the common beam (TCI state) for the reception of DL control (PDCCH) and data (PDSCH). The UE receives (e.g., a DL-TCI-DCI format) and decodes DL-TCI-DCI in slot (or subframe)  $N$ , and uses the indicated beam (TCI state) to receive DL control (PDCCH) starting in the same (slot  $N$ ) or later slot(s). For illustration, let  $X$  be the gap (in number of slots/subframes) between the slot carrying the DL-TCI-DCI and the slot carrying the DL control, then the UE receives DL control starting in slot  $N+X$ . The UE decodes DL-DCI (e.g., a DL-DCI format) contained in PDCCH to obtain scheduling information for the DL assignment. The UE then uses the

indicated beam (TCI state) to receive DL data (PDSCH, according to the DL assignment) in slot  $N+X+K_0$ . Here, the value of  $X$  can be fixed. Alternatively, the value of  $X$  can be selected from a set of values. Optionally, the value of  $X$  is not configured or set in a particular manner due to the aperiodic nature of the DCI signaling (DL-TCI-DCI and/or DL-DCI). That is, the time unit location (e.g., slot, subframe) used to signal the DL-TCI-DCI can be different from that used to signal the DL-DCI.

[390] In U.S. Patent Application Serial No. 17/222,592 filed on April 5, 2021, the disclosure of which is incorporated by reference herein, a common beam indication (via *UL-TCI-DCI*) for UL data (PUSCH) and UL control (PUCCH) is proposed. An example of a dedicated DCI indicating the common beam for the transmission of UL control and data 2500 is illustrated in FIGURE 25. The example of a dedicated DCI indicating the common beam for the transmission of UL control and data 2500 illustrated in FIGURE 25 is for illustration only. FIGURE 25 does not limit the scope of this disclosure to any particular implementation of the example of a dedicated DCI indicating the common beam for the transmission of UL control and data 2500.

[391] As shown in FIGURE 25, a UE is configured to receive a dedicated DCI (UL-TCI-DCI) indicating the common beam (TCI state) for the transmission of UL control (PUCCH) and data (PUSCH), wherein PUCCH can be associated with (or in response to) DL reception and/or UL transmission. Optionally, the common beam can also be used for the transmission of PRACH. The UE receives (e.g., a UL-TCI-DCI format) and decodes UL-TCI-DCI in slot (or subframe)  $N'$ , and uses either the indicated beam (TCI state) or another TCI state (beam) to receive DL control (PDCCH) starting in the same (slot  $N'$ ) or later slot(s). For illustration, let  $X'$  be the gap (in number of slots/subframes) between the slot carrying the DL-TCI-DCI and the slot carrying the DL control, then the UE receives DL control starting in slot  $N'+X'$ . The UE decodes UL-DCI (e.g., a UL-DCI format) contained in PDCCH to obtain scheduling information for the UL grant. The UE uses the indicated beam (TCI state) in UL-TCI-DCI to transmit UL control (PUCCH) and/or UL data (PUSCH, according to the UL grant) in slot  $N'+X'+K_0'$ . Here, the value of  $X'$  can be fixed. Alternatively, the value of  $X'$  can be selected from a set of values. Optionally, the value of  $X'$  is not configured or set in a particular manner due to the aperiodic nature of the DCI signaling (UL-TCI-DCI and/or UL-DCI). That is, the time unit location (e.g., slot, subframe) used to signal the UL-TCI-DCI can be different from that used to signal the UL-DCI.

[392] In the U.S. Patent Application Serial No. 17/222,592 filed on April 5, 2021

referenced above, a common beam indication (via *TCI-DCI*) for both DL and UL as well as data and control is proposed. An example of a dedicated DCI indicating the common beam for all DL and UL channels 2600 is illustrated in FIGURE 26. The example of a dedicated DCI indicating the common beam for all DL and UL channels 2600 illustrated in FIGURE 26 is for illustration only. FIGURE 26 does not limit the scope of this disclosure to any particular implementation of the example of a dedicated DCI indicating the common beam for all DL and UL channels 2600.

- [393] As shown in FIGURE 26, a UE is configured to receive a dedicated DCI (*TCI-DCI*) indicating the common beam (*TCI state*) for all DL and UL channels. In particular, the indicated common beam is used for the reception of DL control (*PDCCH*) and DL data (*PDSCH*) as well as for the transmission of UL control (*PUCCH*) and UL data (*PUSCH*), wherein *PUCCH* can be associated with (or in response to) DL reception and/or UL transmission. Optionally, the common beam can also be used for the transmission of *PRACH*. The UE receives (e.g., a *TCI-DCI* format) and decodes *TCI-DCI* in slot (or subframe)  $N$ , and uses either the indicated beam (*TCI state*) or another *TCI state* (beam) to receive DL control (*PDCCH*) scheduling DL assignment (via *DL-DCI*) and/or UL grant (via *UL-DCI*) starting in the same (slot  $N$ ) or later slot(s).
- [394] For DL, let  $X$  be the gap (in number of slots/subframes) between the slot carrying the *TCI-DCI* and the slot carrying the DL control scheduling DL assignment (via *DL-DCI*), then the UE receives DL control starting in slot  $N+X$ . The UE decodes *DL-DCI* (e.g., a *DL-DCI* format) contained in *PDCCH* to obtain scheduling information for the DL assignment. The UE then uses the indicated beam (*TCI state*) to receive DL data (*PDSCH*, according to the DL assignment) in slot  $N+X+K_0$ . Here, the value of  $X$  can be fixed. Alternatively, the value of  $X$  can be selected from a set of values. Optionally, the value of  $X$  is not configured or set in a particular manner due to the aperiodic nature of the DCI signaling (*TCI-DCI* and/or *DL-DCI*). That is, the time unit location (e.g., slot, subframe) used to signal the *TCI-DCI* can be different from that used to signal the *DL-DCI*.
- [395] For UL, let  $X'$  be the gap (in number of slots/subframes) between the slot carrying the *TCI-DCI* and the slot carrying the DL control scheduling UL grant (via *UL-DCI*), then the UE receives DL control starting in slot  $N'+X'$ . The UE decodes *UL-DCI* (e.g., a *UL-DCI* format) contained in *PDCCH* to obtain scheduling information for the UL grant. The UE uses the indicated beam (*TCI state*) in *TCI-DCI* to transmit UL control (*PUCCH*) and/or UL data (*PUSCH*, according to the UL grant) in slot  $N'+X'+K_0'$ . Here, the value of  $X'$  can be fixed. Alternatively, the value of  $X'$  can be selected from a set of values. Optionally, the value of  $X'$  is not configured or set in a

particular manner due to the aperiodic nature of the DCI signaling (TCI-DCI and/or UL-DCI). That is, the time unit location (e.g., slot, subframe) used to signal the TCI-DCI can be different from that used to signal the UL-DCI.

[396] When the UE is configured with a set (list) of  $M > 1$  CCs (or DL BWPs or cells or UL BWPs), an index  $i \in \{0, 1, \dots, M-1\}$  is used to denote the  $i$ -th CC in the set (list) of  $M > 1$  CCs (or DL BWPs or cells or UL BWPs), i.e., the notations CC(i), DCI(i), PDCCH(i), PDSCH(i), TCI state(i), PUCCH(i), PUSCH(i), PRACH(i) etc. are used to denote the relevant terms for the  $i$ -th CC.

[397] Component 3: Cross carrier common beam indication

[398] An example of a UE configured with at least two CCs for DL reception 2700 is illustrated in FIGURE 27. The example of a UE configured with at least two CCs for DL reception 2700 illustrated in FIGURE 27 is for illustration only. FIGURE 27 does not limit the scope of this disclosure to any particular implementation of the example of a UE configured with at least two CCs for DL reception 2700.

[399] In one embodiment (I.1), as shown in FIGURE 27, a UE is configured with at least two CCs, CC1 and CC2 (or DL BWPs or cells) for DL reception. The UE is further configured to receive a common beam or TCI state(2) for receiving DL-DCI(2) and/or PDSCH(2) for CC2, wherein DL-DCI(2) is a DCI that schedules PDSCH(2) reception. So, the UE receives the common beam for CC2. In one example, the beam or TCI state(2) is used for the reception of PDSCH(2) (and/or DMRS for PDSCH(2)). In one example, the beam or TCI state(2) is used as a 'common' beam (TCI state) for the reception of both DL-DCI(2) and PDSCH(2) (and/or DMRS for PDCCH carrying DL-DCI(2) and PDSCH(2)). In one example, the beam or TCI state(2) is used (1) for the reception of PDSCH(2) only or (2) as a 'common' beam (TCI state) for the reception of both PDCCH(2) carrying DL-DCI(2) and PDSCH(2). In one example, whether the beam or TCI state(2) is for (1) or (2) is indicated/configured (via RRC and/or MAC CE and/or DCI), where this indication/configuration can be common for all CCs or independent for each CC. In one example, PDCCH with DL-DCI(2) that schedules PDSCH(2) reception can be received via CC1 or CC2 (carrier is either fixed or configured).

[400] The common beam or TCI state(2) can be indicated via L-1 control (DCI) signaling, e.g., a dedicated DCI, namely DL-TCI-DCI(2). Alternatively, the common beam or TCI state(2) can be indicated via MAC CE. Alternatively, the common beam or TCI state(2) can be indicated via a combination of MAC CE and a dedicated DCI, namely DL-TCI-DCI(2).

[401] Three relevant cases are illustrated in FIGURE 27 depending on the carrier of PDCCH carrying DL-DCI(2) and PDSCH(2) for CC2.

- [402] For Case 1 and 2, the UE is configured to receive a PDCCH with DL-DCI(2) via CC1 and PDSCH(2) via CC2. Since PDCCH DL-DCI(2) and PDSCH(2) are received via two different CCs, two different beams or TCI states can be used for their reception, especially when the numerologies of CC1 and CC2 are different. Let  $\mu_1$  and  $\mu_2$  be the subcarrier spacings (SCSs) for CC1 and CC2, respectively. In one example, when  $\mu_1 = \mu_2$ , i.e., CC1 and CC2 have the same numerologies, the same beam or TCI state is used for the reception of PDCCH with DL-DCI(2) and PDSCH(2); and when  $\mu_1 \neq \mu_2$ , i.e., CC1 and CC2 have different numerologies, the two beams or TCI states can be used for the reception of PDCCH with DL-DCI(2) and PDSCH(2). In one example, the different beams can be used even when  $\mu_1 = \mu_2$ . In one example, whether (A) the same beam or TCI state is used for the reception of PDCCH with DL-DCI(2) and PDSCH(2), or (B) two beams or TCI states can be used for the reception of PDCCH with DL-DCI(2) and PDSCH(2) is configured, for example, via higher layer RRC signaling. In one example, the set of candidate values for SCS belongs to {0, 1, 2, 3, 4, 5}, which for example, indicate {15, 30, 60, 120, 240, 480} kHz.
- [403] When two beams or TCI states can be used for the reception of PDCCH with DL-DCI(2) and PDSCH(2), the common beam or TCI state(2) indicates two independent beams explicitly. Alternatively, the common beam or TCI state(2) indicates one beam, and another beam is derived implicitly.
- [404] For Case 3, the UE is configured to receive both PDCCH with DL-DCI(2) and PDSCH(2) via CC2. Hence, the same beam indicated via common TCI state(2) is used for the reception of both PDCCH with DL-DCI(2) and PDSCH(2).
- [405] In one embodiment (I.2), a UE is configured with at least two CCs, CC1 and CC2 (or DL BWPs or cells) for DL reception. The UE is further configured to receive a control information (via channel X) in CC1 with SCS  $\mu_1$  (e.g., in FR1), where the control information is provided for receiving a channel Y in CC2 with SCS  $\mu_2$  (e.g., in FR2).
- [406] In one example, the control information includes a common beam or TCI state(2) for CC2. At least one of the following examples can be used.
- [407] ● In one example, the control information is indicated via DL-TCI-DCI(2), and the channel X is PDCCH.
- [408] ● In one example, the control information is indicated via MAC CE, and the channel X is PDSCH.
- [409] ● In one example, the control information is indicated via a combination of DL-TCI-DCI(2) and MAC CE, and the channel X is PDCCH for DL-TCI-DCI(2) part and PDSCH for MAC CE part.
- [410] In one example, the control information includes DL-DCI(2) scheduling PDSCH(2)

for CC2, and the channel X is PDCCH.

- [411] In one example, the control information includes (A) a common beam or TCI state(2) for CC2, and (B) DL-DCI(2) scheduling PDSCH(2) for CC2. For (A), the control information and the channel X are as described above. For (B), control information includes DL-DCI(2) scheduling PDSCH(2) for CC2, and the channel X is PDCCH.
- [412] In one example, the control information is DL-TCI-DCI(2) and/or DL-DCI(2) and the channel X is PDCCH(2).
- [413] In one example, the control information is MAC CE and/or DL-DCI(2) and the channel X is PDCCH(2).
- [414] In one example, the control information is MAC CE DL-TCI-DCI(2) and/or DL-DCI(2) and the channel X is PDCCH(2).
- [415] In one example, the channel Y is PDSCH(2). In one example, the channel Y is PDCCH(1) and PDSCH(2).
- [416] Since a CC with larger SCS (e.g., FR2) will have a larger number of candidate beams than a CC with smaller SCS (e.g., FR1), the common beam or TCI state indication mechanism can be according to at least one of the following examples. In one example, the common beam or TCI state indication mechanism is agnostic (independent) of the numerologies (SCSs), i.e., the same mechanism is used regardless of the SCSs of different CCs. In another example, the common beam or TCI state indication mechanism is dependent on the numerologies (SCSs). For example, one mechanism can be used for each of three cases:  $\mu_1 = \mu_2$ ,  $\mu_1 < \mu_2$ , and  $\mu_1 > \mu_2$ .
- [417] As described in embodiment (I.1), when channel X and channel Y are received via two different CCs, two different beams or TCI states can be used for their reception, especially when the numerologies of CC1 and CC2 are different. Let  $\mu_1$  and  $\mu_2$  be the subcarrier spacings (SCSs) for CC1 and CC2, respectively. In one example, when  $\mu_1 = \mu_2$ , i.e., CC1 and CC2 have the same numerologies, the same beam or TCI state is used for the reception of channel X and channel Y; and when  $\mu_1 \neq \mu_2$ , i.e., CC1 and CC2 have different numerologies, the two beams or TCI states can be used for the reception of channel X and channel Y. In one example, the different beams can be used even when  $\mu_1 = \mu_2$ . In one example, whether (A) the same beam or TCI state is used for the reception of channel X and channel Y, or (B) two beams or TCI states can be used for the reception of channel X and channel Y is configured, for example, via higher layer RRC signaling.
- [418] When two beams or TCI states can be used for the reception of channel X and channel Y, the common beam or TCI state(2) indicates two independent beams explicitly. Alternatively, the common beam or TCI state(2) indicates one beam, and

another beam is derived implicitly.

- [419]     ● In one example, the implicit (common) TCI state for channel X in CC1 is derived from the TCI state indicated for channel Y in CC2.
- [420]     ● In one example, the implicit (common) TCI state for channel Y in CC2 is derived from the TCI state indicated for channel X in CC1.
- [421]     ● In one example, when  $\mu_1 < \mu_2$ , the implicit (common) TCI state for channel X in CC1 is derived from the TCI state indicated for channel Y in CC2.
- [422]     ● In one example, when  $\mu_1 \leq \mu_2$ , the implicit (common) TCI state for channel X in CC1 is derived from the TCI state indicated for channel Y in CC2.
- [423]     ● In one example, when  $\mu_1 > \mu_2$ , the implicit (common) TCI state for channel X in CC1 is derived from the TCI state indicated for channel Y in CC2.
- [424]     ● In one example, when  $\mu_1 \geq \mu_2$ , the implicit (common) TCI state for channel X in CC1 is derived from the TCI state indicated for channel Y in CC2.
- [425]     ● In one example, when  $\mu_1 < \mu_2$ , the implicit (common) TCI state for channel Y in CC2 is derived from the TCI state indicated for channel X in CC1.
- [426]     ● In one example, when  $\mu_1 \leq \mu_2$ , the implicit (common) TCI state for channel Y in CC2 is derived from the TCI state indicated for channel X in CC1.
- [427]     ● In one example, when  $\mu_1 > \mu_2$ , the implicit (common) TCI state for channel Y in CC2 is derived from the TCI state indicated for channel X in CC1.
- [428]     ● In one example, when  $\mu_1 \geq \mu_2$ , the implicit (common) TCI state for channel Y in CC2 is derived from the TCI state indicated for channel X in CC1.
- [429]     In one example, for a first subset of CCs, the implicit method is used to determine the different beams, and for a second subset of CCs, the explicit method is used to determine the different beams.
- [430]     ● In one example, the first and second subsets of CCs can either be fixed, configured (e.g., via RRC), or signaled via a DCI.
- [431]     ● In one example, whether implicit or explicit method is used (and/or two subsets) is configured via higher layer signaling (RRC and/or MAC CE).
- [432]     ● In one example, whether implicit or explicit method is used (and/or two subsets) is indicated via DCI. For example, an indicator in DCI can be used for this purpose. In one example, the indicator is separate from the indicator indicating CCs PDSCH scheduled for. In one example, the indicator is jointly indicated with the indicator indicating CCs PDSCH scheduled for.
- [433]     ● In one example, a two stage DCI can be used, wherein the first stage DCI includes the information about the two subsets of CCs and/or whether implicit or explicit

method is used, and the second stage DCI includes the information about the beam or TCI states for different CCs depending on the information provided in the first stage DCI.

[434] At least one of the following examples of the implicit method is used.

[435] ● In one example, let N1 and N2 be the number of TCI states (or beams) for CC1 and CC2 respectively. The TCI state to receive a channel (e.g., channel X) in CC1 can indicate a wide beam, and the TCI state to receive a channel (e.g., channel Y) in CC2 can indicate a narrow beam. Hence,  $N_2 > N_1$ . The bit-width (number of bits) for the common beam or TCI state(2) can be defined depending on N1 or N2 or  $\min(N_1, N_2)$  or  $\max(N_1, N_2)$  or  $N_1/N_2$  or  $N_2/N_1$ . Alternatively, the bit-width (number of bits) for the common beam or TCI state(2) can be defined depending on  $\mu_1$  or  $\mu_2$  or  $\min(\mu_1, \mu_2)$  or  $\max(\mu_1, \mu_2)$  or  $\frac{\mu_1}{\mu_2}$  or  $\frac{\mu_2}{\mu_1}$  or  $\frac{2^{\mu_2}}{2^{\mu_1}}$  or  $\frac{2^{\mu_1}}{2^{\mu_2}}$ .

[436] ● In one example, let S1 be a set of N1 TCI states for CC1 and S2 be a set of N2 TCI states for CC2, whether either only S1 is configured, or only S2 is configured or both S1 and S2 are configured. There is fixed (explicit) mapping from S1 to S2 or vice versa.

[437] ○ In one example, when  $N_1 < N_2$ , a beam TCI state in S1 can span (covers)  $Z > 1$  beams or TCI states in S2, where Z can be fixed or may depend on  $\mu_1$  or  $\mu_2$  or  $\min(\mu_1, \mu_2)$  or  $\max(\mu_1, \mu_2)$  or  $\frac{\mu_1}{\mu_2}$  or  $\frac{\mu_2}{\mu_1}$  or  $\frac{2^{\mu_2}}{2^{\mu_1}}$  or  $\frac{2^{\mu_1}}{2^{\mu_2}}$ .

[438] ○ In one example, a fixed rule is used for the implicit mapping.

[439] ■ For example, the (implicit) TCI state index = floor or ceiling of (A/B), where A = the indicated TCI state index, B is a fixed number or is determined based on  $\mu_1$  or  $\mu_2$  or  $\min(\mu_1, \mu_2)$  or  $\max(\mu_1, \mu_2)$  or  $\frac{\mu_1}{\mu_2}$  or  $\frac{\mu_2}{\mu_1}$  or  $\frac{2^{\mu_2}}{2^{\mu_1}}$  or  $\frac{2^{\mu_1}}{2^{\mu_2}}$ .

[440] ○ In one example, a two level TCI state indication is used for the implicit indication, where a TCI state index  $b = (b_1, b_2)$  indicated to the UE.

[441] ■ Level 1: the UE determines one of b1 or b2 (e.g., b1) from b implicitly and uses it to determine a TCI state (beam) for CC1.

[442] ■ Level 2: the UE uses  $b = (b_1, b_2)$  to determine a TCI state (beam) for CC2.

[443] In one example, an intermediate TCI state subset comprising  $T_1 < S_1$  TCI states can be selected from S1, and likewise, an intermediate TCI state subset comprising  $T_2 < S_2$  TCI states can be selected from S2. This intermediate subset selection can be based on a MAC CE based activation, wherein this activation can be independent for each

CC, or a common activation can be used for intermediate subsets for all (or a subset of CCs). The implicit mapping of TCI states as described above can be used except that the set S1 and S2 are replaced with T1 and T2.

[444]     Single DCI for multiple CCs

[445]     In one embodiment (I.3), a UE is configured to receive a DCI for CC2, e.g., DL-TCI-DCI(2) indicating TCI state(2) and/or DL-DCI(2) scheduling PDSCH(2) in embodiments (I.1) through (I.2), via a PDCCH transmitted from CC1. The UE can also be configured to receive another DCI for CC1 e.g., DL-TCI-DCI(1) indicating TCI state(1) and/or DL-DCI(1) scheduling PDSCH(1).

[446]     In one example, the DCI for CC1 and the other DCI for CC1 can be separate, i.e., DCI is separate (independent) for each CC. In another example, the DCI for CC1 and the other DCI for CC1 can be included in a single (joint or common) DCI.

[447]     In one example, a single (joint or common) DL-TCI-DCI can be used to one of multiple indicate TCI states for multiple CCs.

[448]     ● In one example, the single (joint or common) DL-TCI-DCI indicates a TCI state that is common for multiple CCs.

[449]     ● In one example, the single (joint or common) DL-TCI-DCI indicates multiple TCI states, one TCI state for each CC.

[450]     ● In one example, the single (joint or common) DL-TCI-DCI indicates multiple TCI states, one TCI state for each CC in a first subset of CCs, and one (single) common TCI state for all CCs in a second subset of CCs. The first and second subsets of CCs can be fixed, configured via RRC and/or MAC CE and/or DCI.

[451]     The set of multiple CCs for this common indication can be fixed or configured via RRC and/or MAC CE and/or DCI. The CC index that carry the PDCCH with this DL-TCI-DCI can be fixed or configured via RRC and/or MAC CE and/or DCI. For example, the CC index that carry the PDCCH with this DL-TCI-DCI can be the CC with smaller SCS and/or CC index.

[452]     In one embodiment (I.4), the set of CCs for the TCI state (or beam) indication and other control and data indication as described in some embodiments of this disclosure are according to at least one of the following examples.

[453]     ● In one example, there are no restrictions, i.e., the set of CCs can be on FR1 and/or FR2 and/or FR4 (i.e., above 52.6 GHz).

[454]     ● In one example, the set of CCs is restricted to FR2 only, or FR2 and FR4.

[455]     ● In one example, the TCI state (or beam) indication and other control (e.g., PDCCH with DL-DCI) can be via a CC on FR1 and data (PDSCH) can be via a CC on FR2.

[456]     ● In one example, the TCI state (or beam) indication according to some embodiments of this disclosure can be via a CC on FR1 and other control (e.g., PDCCH with DL-DCI) and data (PDSCH) can be via a CC on FR2.

- [457] ● In one example, the TCI state (or beam) indication according to some embodiments of this disclosure can be via a CC on FR2 and other control (e.g., PDCCH with DL-DCI) and data (PDSCH) can be via a CC on FR4 (i.e., above 52.6 GHz).
- [458] ● In one example, the TCI state (or beam) indication and other control (e.g., PDCCH with DL-DCI) can be via a CC on FR2 and data (PDSCH) can be via a CC on FR4.
- [459] ● In one example, the TCI state (or beam) indication according to some embodiments of this disclosure can be via a CC on FR1, other control (e.g., PDCCH with DL-DCI) can be via a CC on FR2, and data (PDSCH) can be via a CC on FR4 (i.e., above 52.6 GHz).
- [460] ● In one example, the above-mentioned restrictions is subject to UE capability reported by the UE. For instance, a UE can report its capability of supporting one or multiple of the above-mentioned examples. The set of CCs for the TCI state indication and other control and data indication is subject to (according to) the reported UE capability.
- [461] Component 4: Two subsets of CCs
- [462] In one embodiment (II.1), a UE is configured with at least two subsets of CCs, SS1 and SS2 (or DL BWPs or cells) for DL reception. The UE is further configured to receive a common beam or TCI state(2) for receiving DL-DCI(2) and/or PDSCH(2) for a CC2 in subset SS2, wherein DL-DCI(2) is a DCI that schedules PDSCH(2) reception. So, the UE receives the common beam for the CC2 in subset SS2. In one example, the beam or TCI state(2) is used for the reception of PDSCH(2) (and/or DMRS for PDSCH(2)). In one example, the beam or TCI state(2) is used as a 'common' beam (TCI state) for the reception of both DL-DCI(2) and PDSCH(2) (and/or DMRS for PDCCH carrying DL-DCI(2) and PDSCH(2)). In one example, the beam or TCI state(2) is used (1) for the reception of PDSCH(2) only or (2) as a 'common' beam (TCI state) for the reception of both PDCCH(2) carrying DL-DCI(2) and PDSCH(2). In one example, whether the beam or TCI state(2) is for (1) or (2) is indicated/configured (via RRC and/or MAC CE and/or DCI), where this indication/configuration can be common for all CCs or independent for each CC. In one example, PDCCH with DL-DCI(2) that schedules PDSCH(2) reception can be received via a CC1 in SS1 or a CC2 in SS2 (carrier is either fixed or configured).
- [463] In one example, both subsets of CCs can be fixed. In one example, one of the two subsets is fixed and the other configured via RRC and/or MAC CE and/or DCI. In one example, both subsets are configured via RRC and/or MAC CE and/or DCI.
- [464] In one example, the common beam or TCI state(2) for receiving DL-DCI(2) and/or PDSCH(2) indicates a common beam for all CCs in subset SS2. In one example, the common beam or TCI state(2) for receiving DL-DCI(2) and/or PDSCH(2) indicates an independent beam for each CC in subset SS2. In one example, whether the common

beam or TCI state(2) for receiving DL-DCI(2) and/or PDSCH(2) indicates a common beam for all CCs in subset SS2 or independent beam for each CC in subset SS2 is configured via RRC and/or MAC CE and/or DCI.

[465] The rest of the details of embodiments I.1 through I.4 can straightforwardly be extended to the case of two subsets of CCs by replacing CC1 and CC2 with all CCs in SS2 and all CCs in SS2.

[466] Component 5: Miscellaneous embodiments

[467] In one embodiment (III.1), the TCI state definition according to some embodiments of this disclosure can include a TCI state ID, at least one source RS ID, and a carrier ID (or SCS index), wherein the carrier ID (or SCS index) indicates the CC (or SCS) the TCI state applies to, and the at least one source RS ID indicates a source RS (such as CSI-RS, SSB).

[468] FIGURE 28 illustrates a flow chart of a method 2800 for operating a user equipment (UE), as may be performed by a UE such as UE 116, according to embodiments of the present disclosure. The embodiment of the method 2800 illustrated in FIGURE 28 is for illustration only. FIGURE 28 does not limit the scope of this disclosure to any particular implementation.

[469] As illustrated in FIGURE 28, the method 2800 begins at step 2802. In step 2802, the UE (e.g., 111-116 as illustrated in FIGURE 1) receives configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication.

[470] In step 2804, the UE receives the beam indication based on the configuration information.

[471] In step 2806, the UE determines whether the beam indication is used for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission.

[472] In one embodiment, when the beam indication is used for (A): the UE, based on the beam indication, determines a set of  $K_1$  measurement reference signal (RS) resources comprising one of or both of channel state information reference signals (CSI-RSs) or synchronization signal blocks (SSBs); receives the set of  $K_1$  measurement RS resources; based on a measurement of the set of  $K_1$  measurement RS resources, determines the beam report; and transmits the beam report, wherein the beam report includes at least one resource indicator and a beam metric associated with the at least one resource indicator.

[473] In one embodiment, the beam indication includes  $M$  TCI states, where  $M \geq 1$ , and each of the  $M$  TCI states maps to a set of measurement RS resources, and a union of the sets of measurement RS resources for all  $M$  TCI states corresponds to the set of  $K_1$

measurement RS resources.

[474] In one embodiment, the UE receives a configuration about the set of K1 measurement RS resources.

[475] In one embodiment, an information indicating whether the beam indication is used for (A) or (B) is included in the beam indication.

[476] In one embodiment, the information indicating whether the beam indication is used for (A) or (B) is via a separate signaling included in the beam indication.

[477] In one embodiment, when the beam indication is used for (B): the UE determines a beam based on the at least one TCI state indicated via the beam indication; and uses the beam to receive the DL or to transmit the UL, wherein the beam refers to spatial quasi co-location (QCL) information used to transmit or receive at least one source reference signal (RS) included in the at least one TCI state.

[478] FIGURE 29 illustrates a flow chart of another method 2900, as may be performed by a base station (BS) such as BS 102, according to embodiments of the present disclosure. The embodiment of the method 2900 illustrated in FIGURE 29 is for illustration only. FIGURE 29 does not limit the scope of this disclosure to any particular implementation.

[479] As illustrated in FIGURE 29, the method 2900 begins at step 2902. In step 2902, the BS (e.g., 101-103 as illustrated in FIGURE 1) generates configuration information including information on a set of transmission configuration indicator (TCI) states and information on a beam indication.

[480] In step 2904, the BS generates the beam indication, wherein the information on the beam indication indicates whether the beam indication is for (A) or (B), wherein: (A) corresponds to triggering a beam measurement and a beam report, and (B) corresponds to indicating at least one TCI state for downlink (DL) transmission or uplink (UL) reception.

[481] In step 2906, the BS transmits the configuration information.

[482] In step 2908, the BS transmits the beam indication.

[483] In one embodiment, when the beam indication is for (A): the BS transmits a set of K1 measurement reference signal (RS) resources comprising one of or both of channel state information reference signals (CSI-RSs) or synchronization signal blocks (SSBs); and receives the beam report, wherein the beam report includes at least one resource indicator and a beam metric associated with the at least one resource indicator.

[484] In one embodiment, the beam indication includes M TCI states, where  $M \geq 1$ , and each of the M TCI states maps to a set of measurement RS resources, and a union of the sets of measurement RS resources for all M TCI states corresponds to the set of K1 measurement RS resources.

[485] In one embodiment, the BS transmits a configuration about the set of K1 mea-

surement RS resources.

- [486] In one embodiment, the information on whether the beam indication indicates (A) or (B) is via a separate signaling included in the beam indication.
- [487] In one embodiment, when the beam indication is for (B), the BS transmits the DL or receives the UL via a beam associated with the at least one TCI state indicated via the beam indication, wherein the beam refers to spatial quasi co-location (QCL) information used to transmit or receive at least one source reference signal (RS) included in the at least one TCI state.
- [488] The above flowcharts illustrate example methods that can be implemented in accordance with the principles of the present disclosure and various changes could be made to the methods illustrated in the flowcharts herein. For example, while shown as a series of steps, various steps in each figure could overlap, occur in parallel, occur in a different order, or occur multiple times. In another example, steps may be omitted or replaced by other steps.
- [489] Although the present disclosure has been described with an exemplary embodiment, various changes and modifications may be suggested to one skilled in the art. It is intended that the present disclosure encompass such changes and modifications as fall within the scope of the appended claims. None of the description in this application should be read as implying that any particular element, step, or function is an essential element that must be included in the claims scope. The scope of patented subject matter is defined by the claims.

## Claims

- [Claim 1] A user equipment (UE) comprising:  
a transceiver configured to:  
receive configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication; and  
receive the beam indication based on the configuration information;  
and  
a processor operably coupled to the transceiver, the processor configured to:  
determine whether the beam indication is used for (A) or (B), wherein:  
(A) corresponds to triggering a beam measurement and a beam report, and  
(B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission.
- [Claim 2] The UE of Claim 1, wherein when the beam indication is used for (A):  
the processor is configured, based on the beam indication, to determine a set of  $K_1$  measurement reference signal (RS) resources comprising one of or both of channel state information reference signals (CSI-RSs) or synchronization signal blocks (SSBs);  
the transceiver is configured to receive the set of  $K_1$  measurement RS resources;  
the processor is further configured, based on a measurement of the set of  $K_1$  measurement RS resources, to determine the beam report; and  
the transceiver is further configured to transmit the beam report, wherein the beam report includes at least one resource indicator and a beam metric associated with the at least one resource indicator.
- [Claim 3] The UE of Claim 2, wherein:  
the beam indication includes  $M$  TCI states, where  $M \geq 1$ , and  
each of the  $M$  TCI states maps to a set of measurement RS resources, and a union of the sets of measurement RS resources for all  $M$  TCI states corresponds to the set of  $K_1$  measurement RS resources.
- [Claim 4] The UE of Claim 2, wherein the transceiver receives a configuration about the set of  $K_1$  measurement RS resources.
- [Claim 5] The UE of Claim 1, wherein an information indicating whether the beam indication is used for (A) or (B) is included in the beam indication.

- [Claim 6] The UE of Claim 5, wherein the information indicating whether the beam indication is used for (A) or (B) is via a separate signaling included in the beam indication.
- [Claim 7] The UE of Claim 1, wherein when the beam indication is used for (B): the processor is configured to determine a beam based on the at least one TCI state indicated via the beam indication; and the transceiver is configured to use the beam to receive the DL or to transmit the UL, wherein the beam refers to spatial quasi co-location (QCL) information used to transmit or receive at least one source reference signal (RS) included in the at least one TCI state.
- [Claim 8] A base station (BS) comprising:  
a processor configured to:  
generate configuration information including information on a set of transmission configuration indicator (TCI) states and information on a beam indication; and  
generate the beam indication, wherein the information on the beam indication indicates whether the beam indication is for (A) or (B),  
wherein:  
(A) corresponds to triggering a beam measurement and a beam report, and  
(B) corresponds to indicating at least one TCI state for downlink (DL) transmission or uplink (UL) reception; and  
a transceiver operably coupled to the processor, the transceiver configured to:  
transmit the configuration information; and  
transmit the beam indication.
- [Claim 9] The BS of Claim 8, wherein when the beam indication is for (A): the transceiver is configured to:  
transmit a set of  $K_1$  measurement reference signal (RS) resources comprising one of or both of channel state information reference signals (CSI-RSs) or synchronization signal blocks (SSBs); and  
receive the beam report, wherein the beam report includes at least one resource indicator and a beam metric associated with the at least one resource indicator.
- [Claim 10] The BS of Claim 9, wherein:  
the beam indication includes  $M$  TCI states, where  $M \geq 1$ , and  
each of the  $M$  TCI states maps to a set of measurement RS resources,

and a union of the sets of measurement RS resources for all M TCI states corresponds to the set of  $K_1$  measurement RS resources.

[Claim 11]

The BS of Claim 9, wherein the transceiver transmits a configuration about the set of  $K_1$  measurement RS resources.

[Claim 12]

The BS of Claim 8, wherein the information on whether the beam indication indicates (A) or (B) is via a separate signaling included in the beam indication.

[Claim 13]

The BS of Claim 8, wherein when the beam indication is for (B): the transceiver is configured to transmit the DL or to receive the UL via a beam associated with the at least one TCI state indicated via the beam indication,

wherein the beam refers to spatial quasi co-location (QCL) information used to transmit or receive at least one source reference signal (RS) included in the at least one TCI state.

[Claim 14]

A method for operating a user equipment (UE), the method comprising: receiving configuration information including information on a set of transmission configuration indicator (TCI) states and information on reception of a beam indication;

receiving the beam indication based on the configuration information; and

determining whether the beam indication is used for (A) or (B), wherein:

(A) corresponds to triggering a beam measurement and a beam report, and

(B) corresponds to indicating at least one TCI state for downlink (DL) reception or uplink (UL) transmission.

[Claim 15]

A method for operating a base station (BS), the method comprising: generating configuration information including information on a set of transmission configuration indicator (TCI) states and information on a beam indication; and

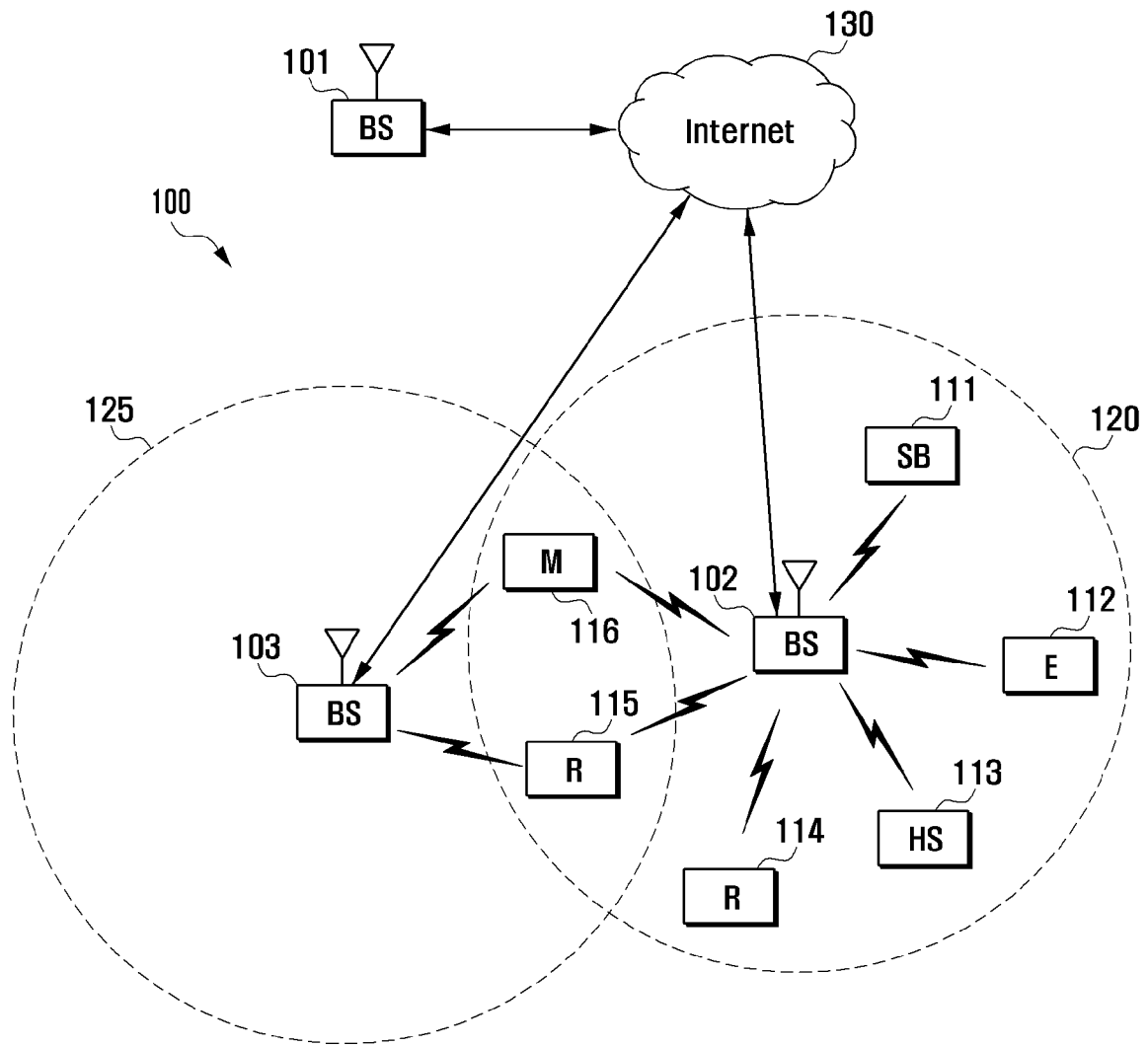
generating the beam indication, wherein the information on the beam indication indicates whether the beam indication is for (A) or (B), wherein:

(A) corresponds to triggering a beam measurement and a beam report, and

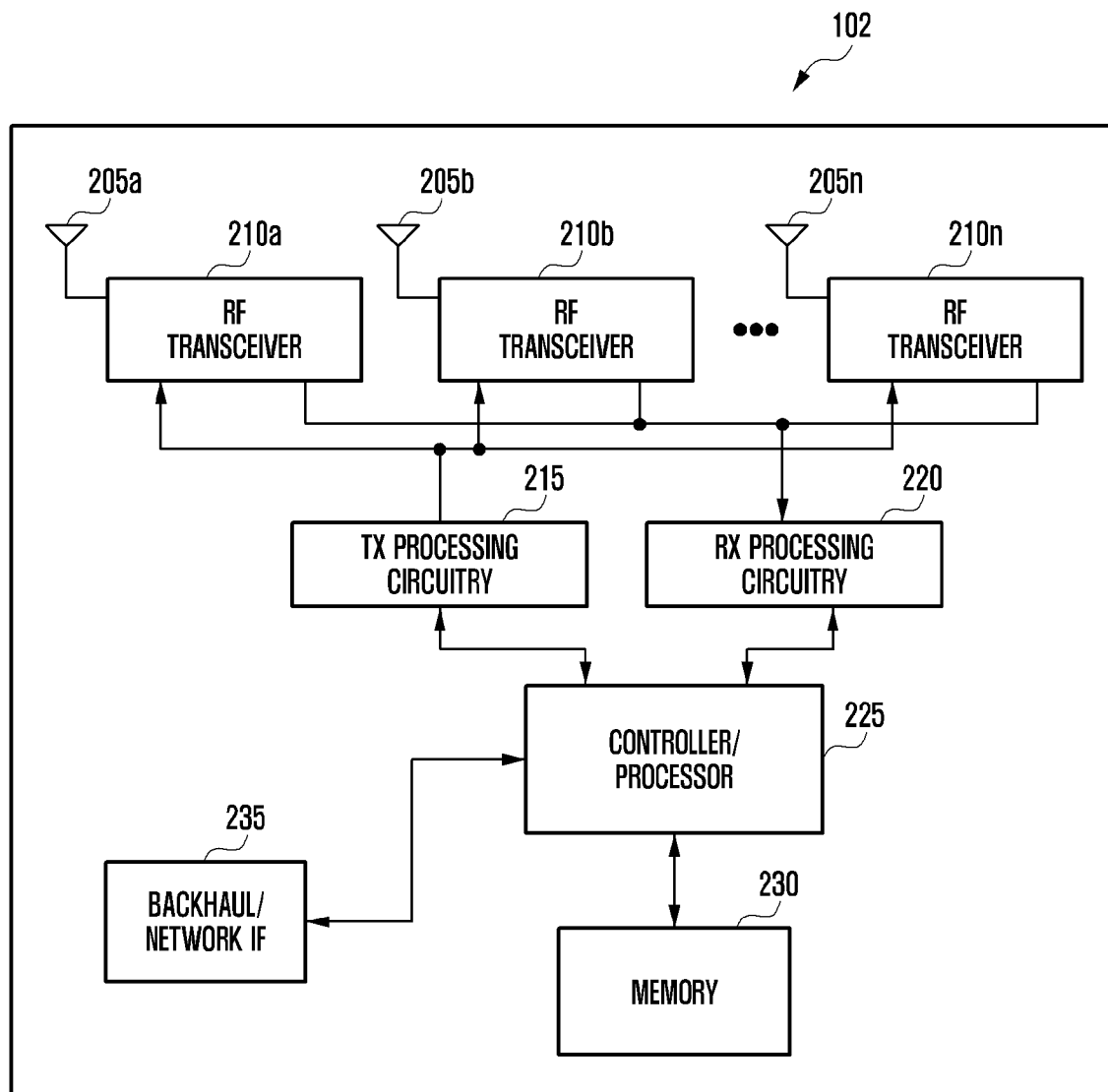
(B) corresponds to indicating at least one TCI state for downlink (DL) transmission or uplink (UL) reception; and transmitting the configuration information; and

transmitting the beam indication.

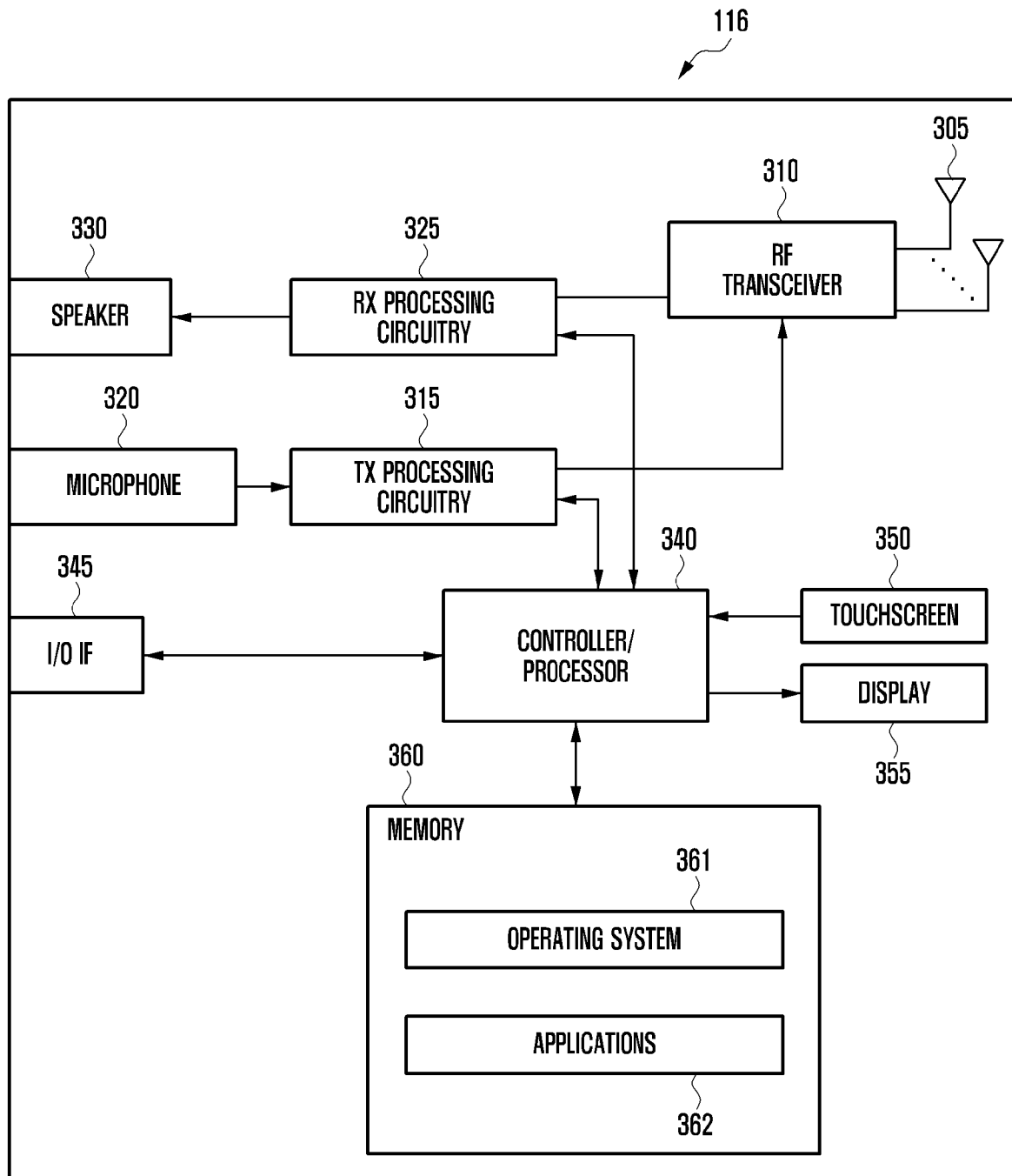
[Fig. 1]



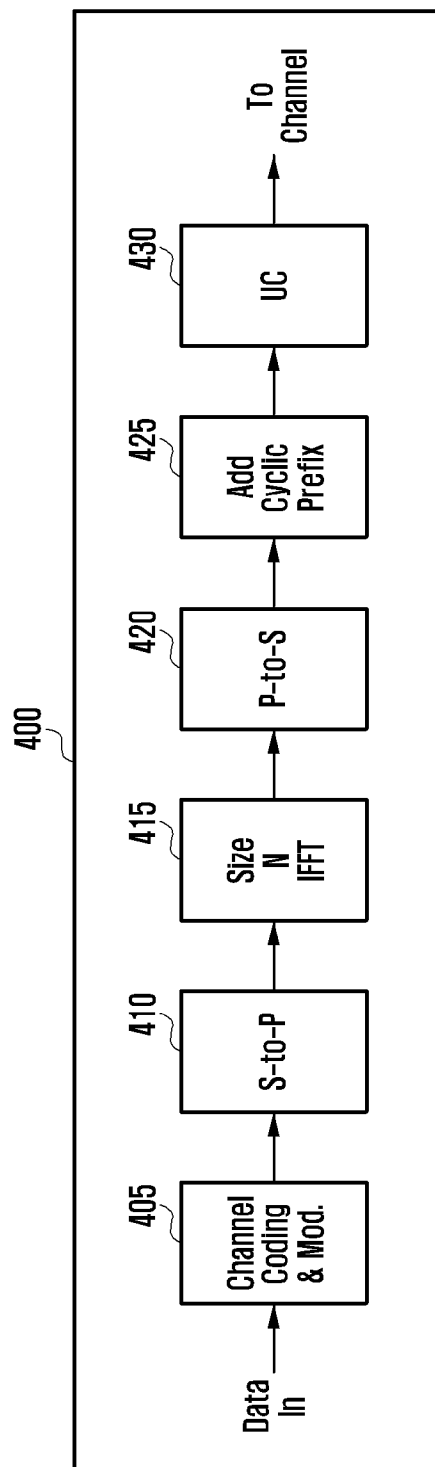
[Fig. 2]



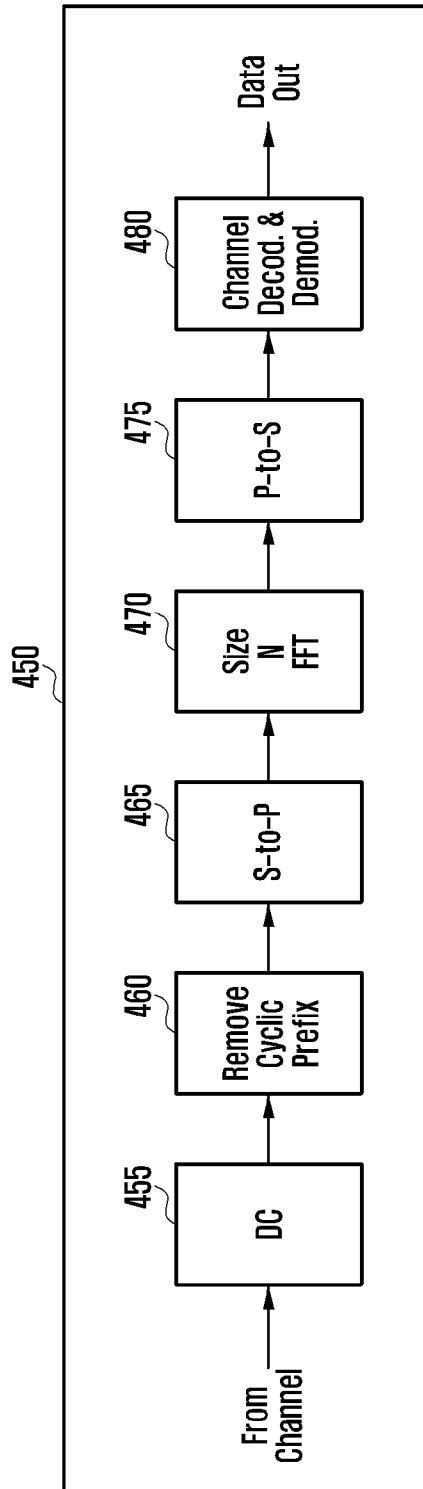
[Fig. 3]



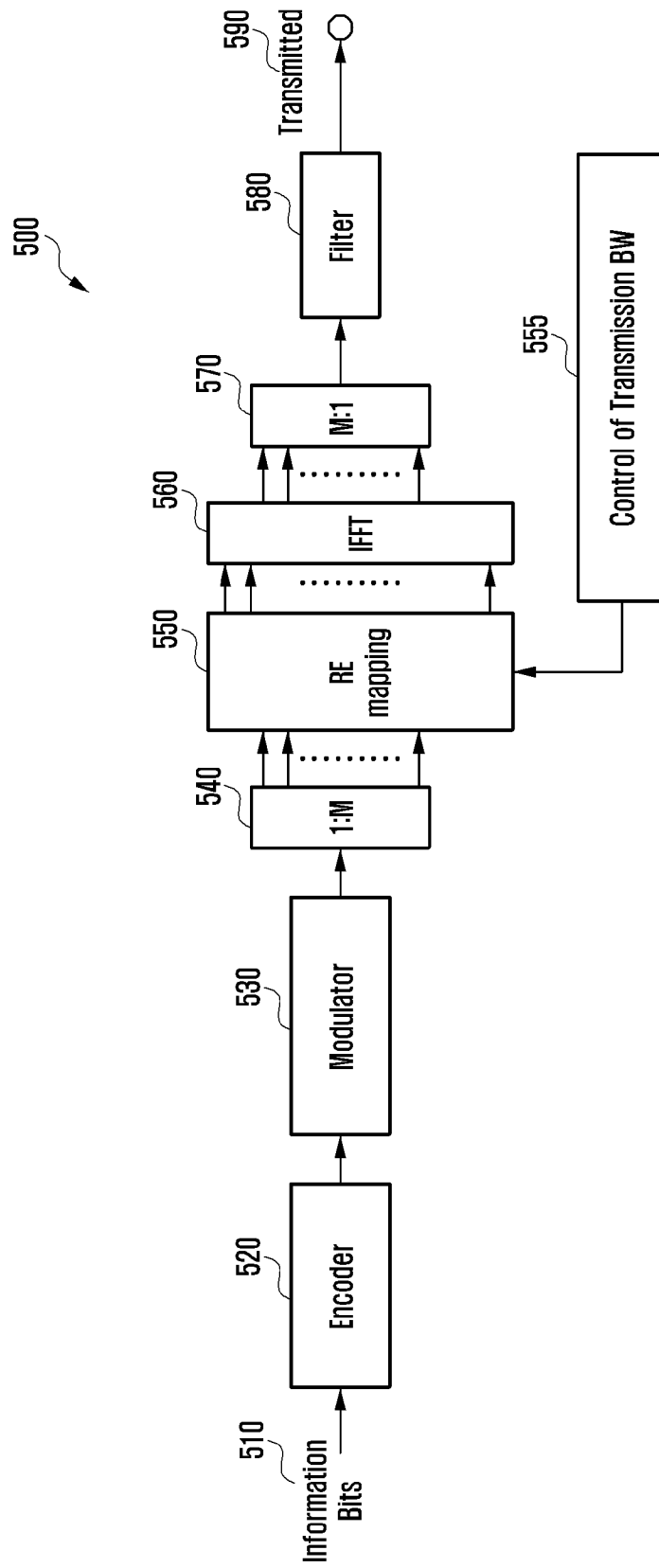
[Fig. 4a]



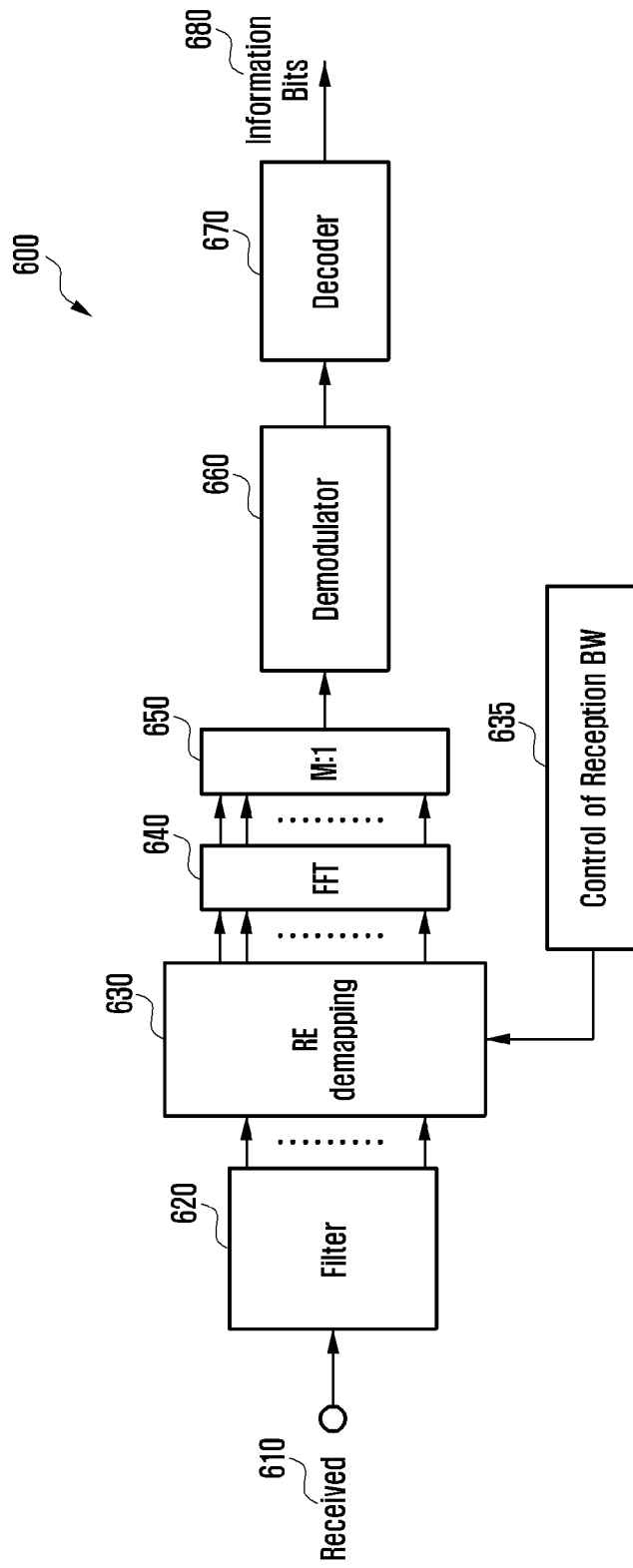
[Fig. 4b]



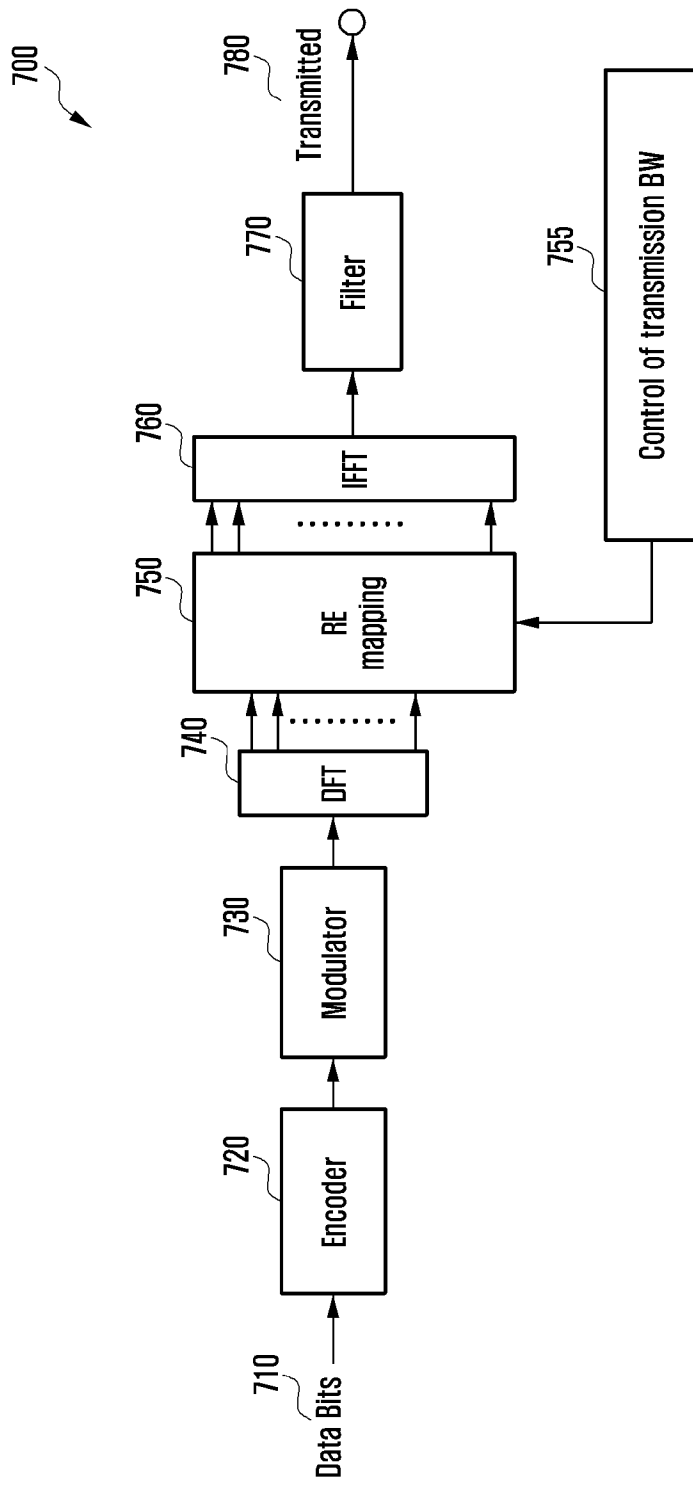
[Fig. 5]



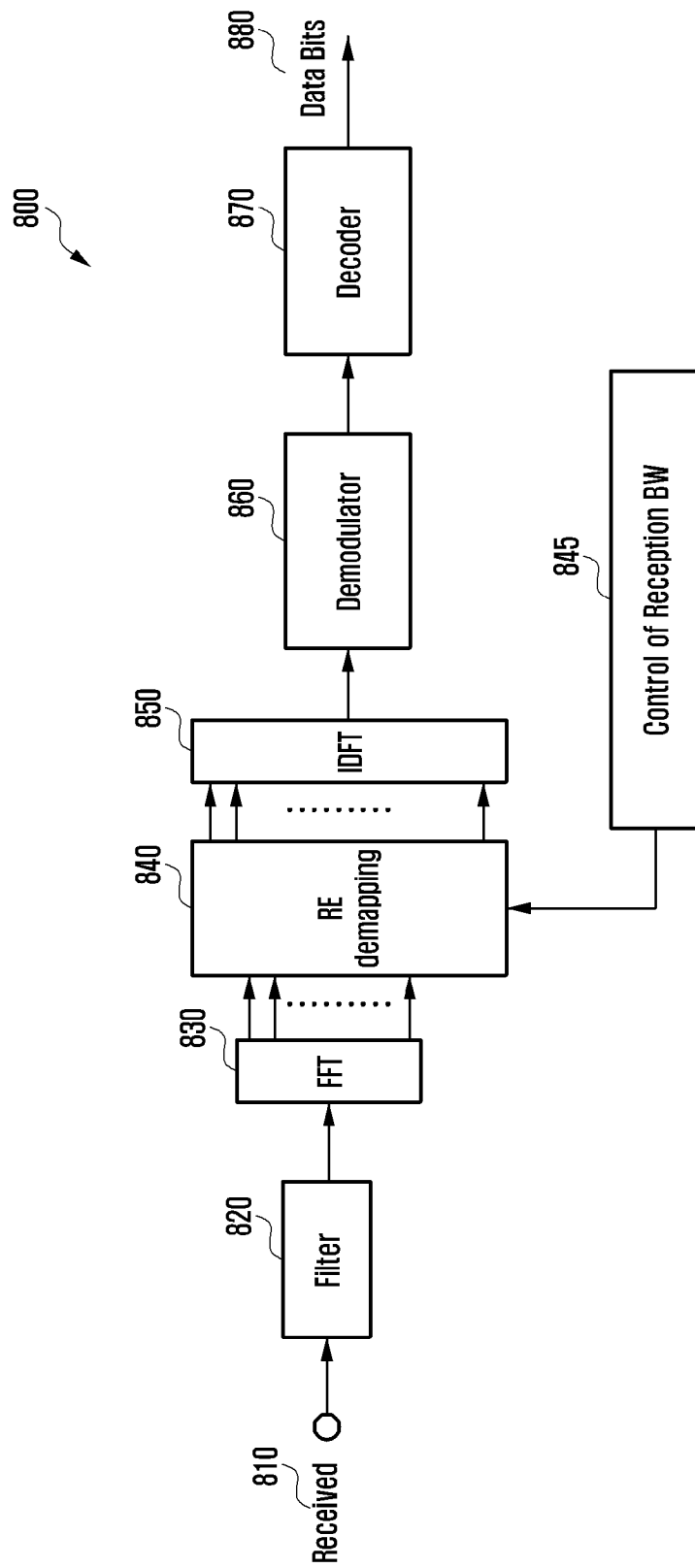
[Fig. 6]



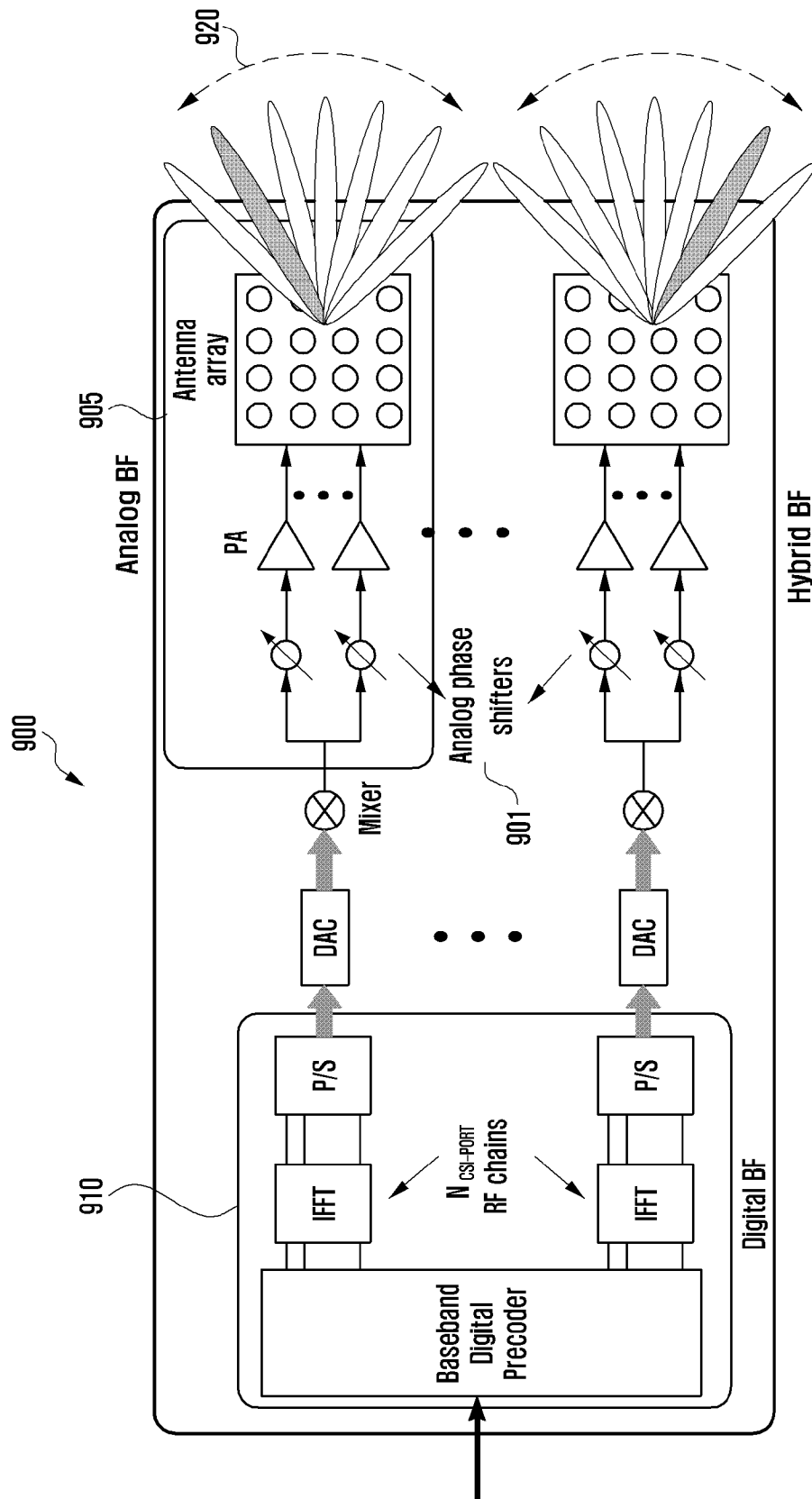
[Fig. 7]



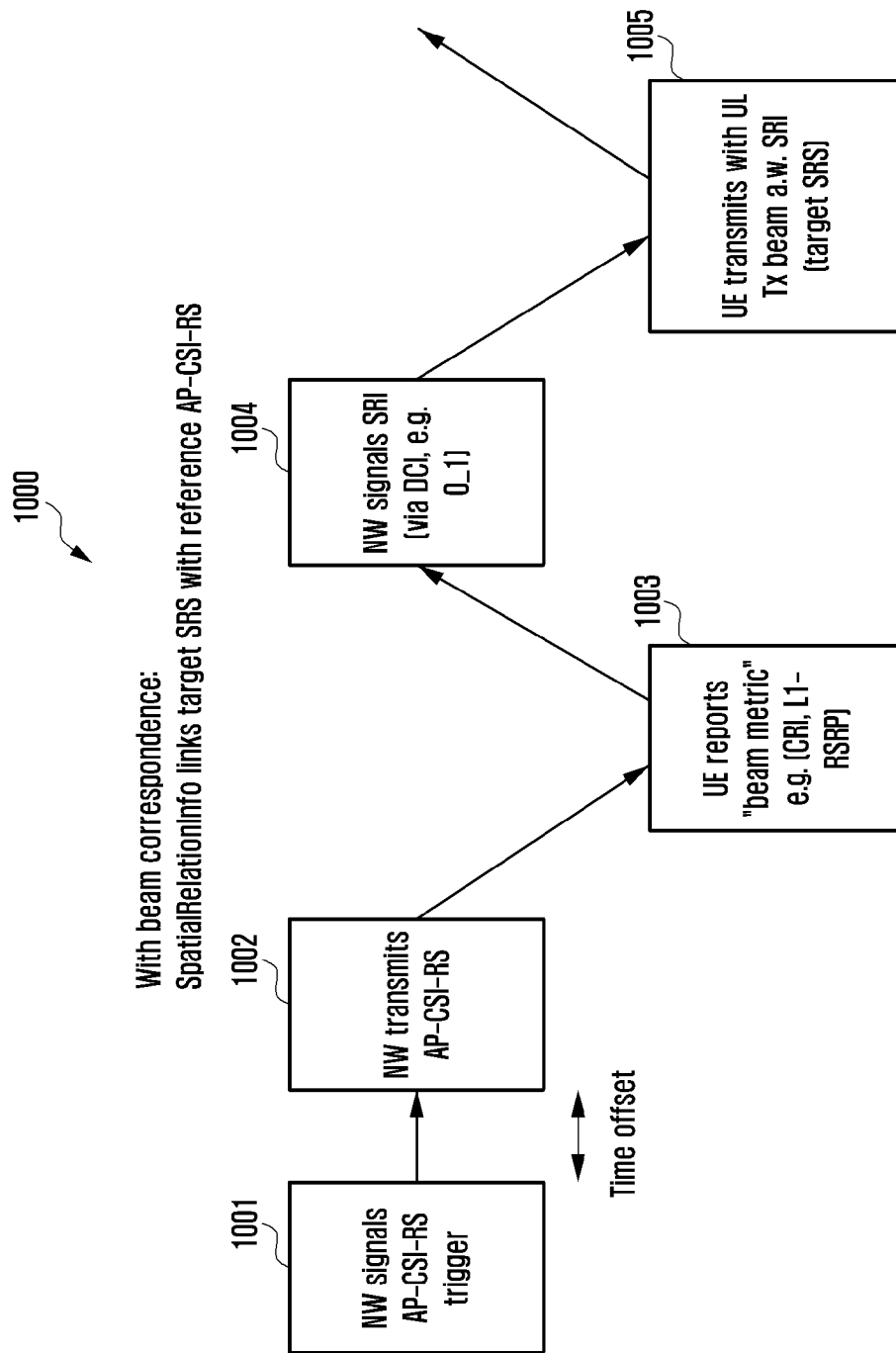
[Fig. 8]



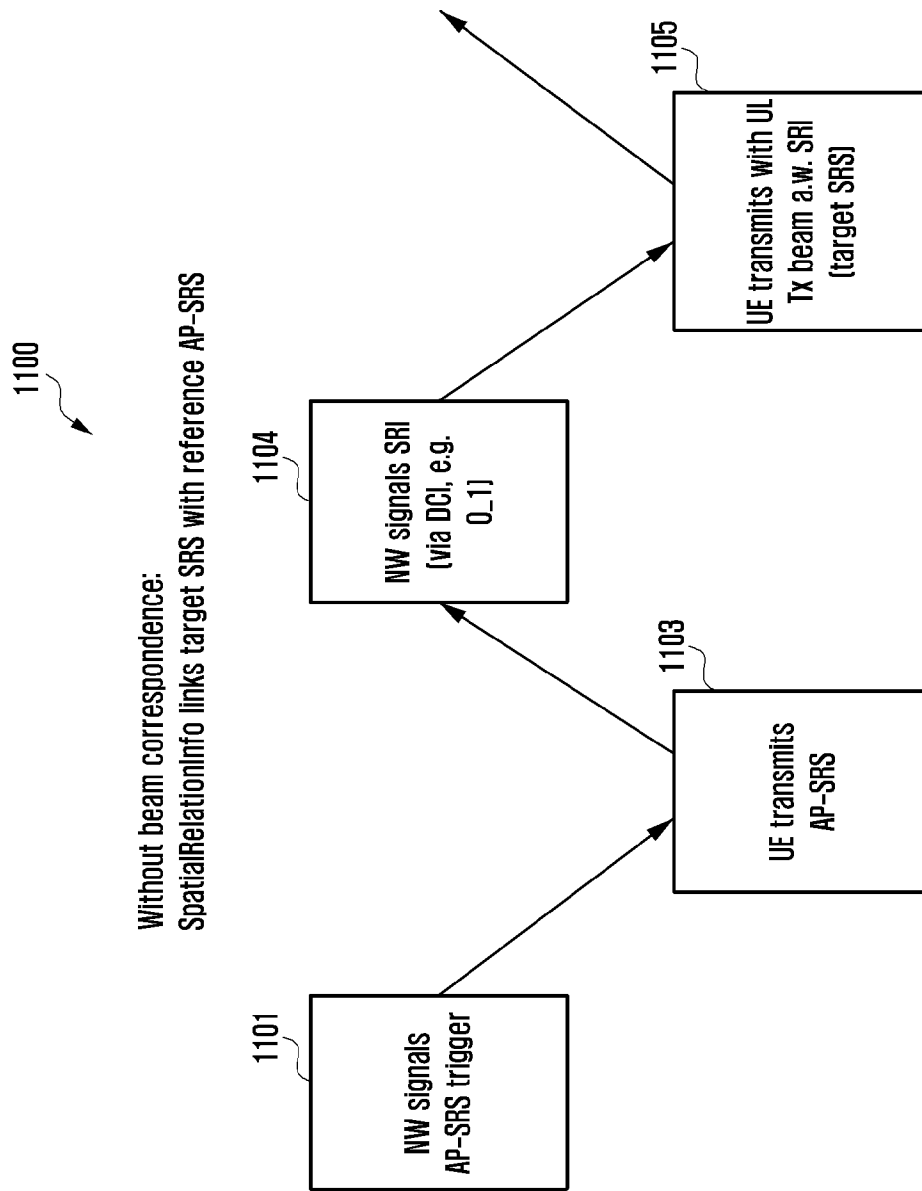
[Fig. 9]



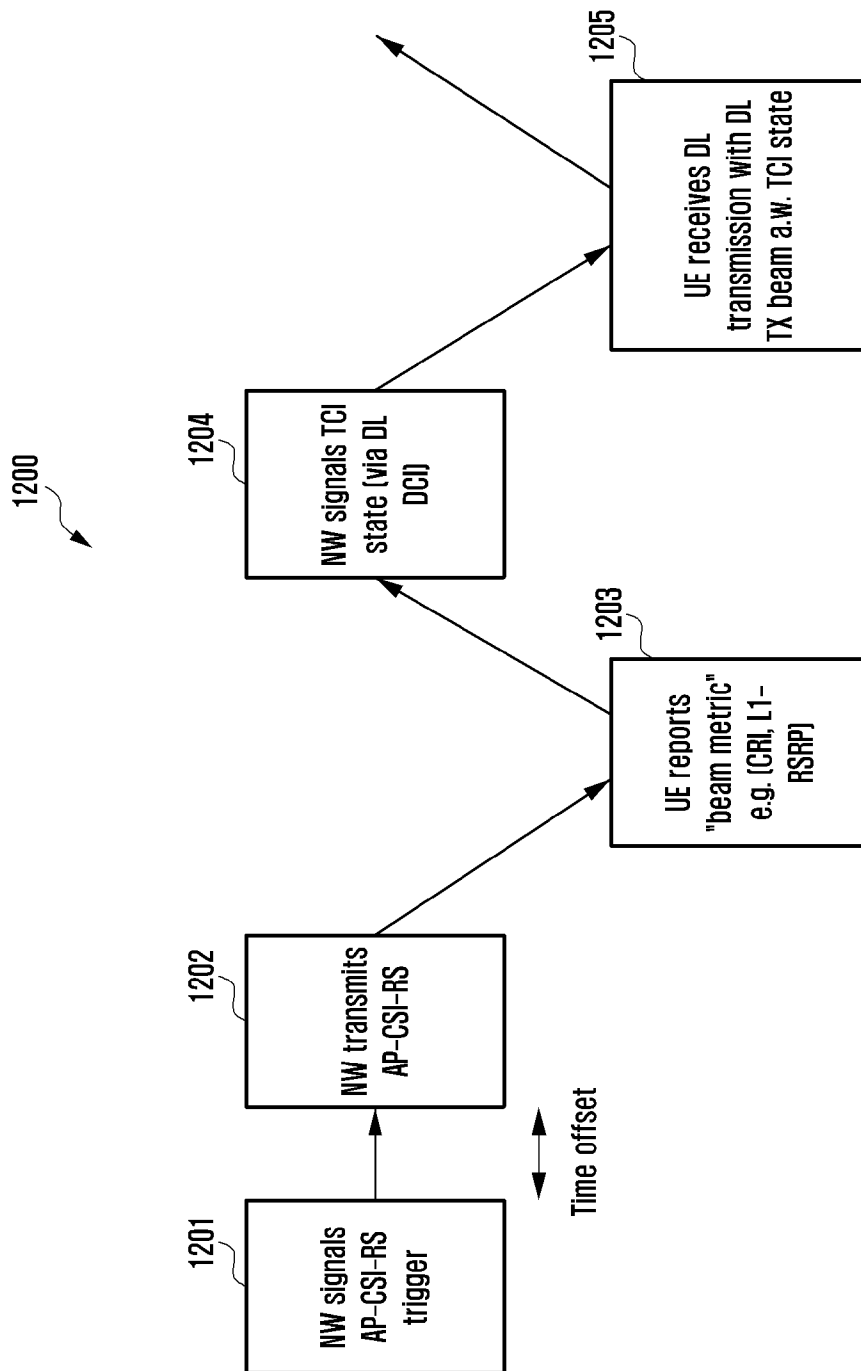
[Fig. 10]



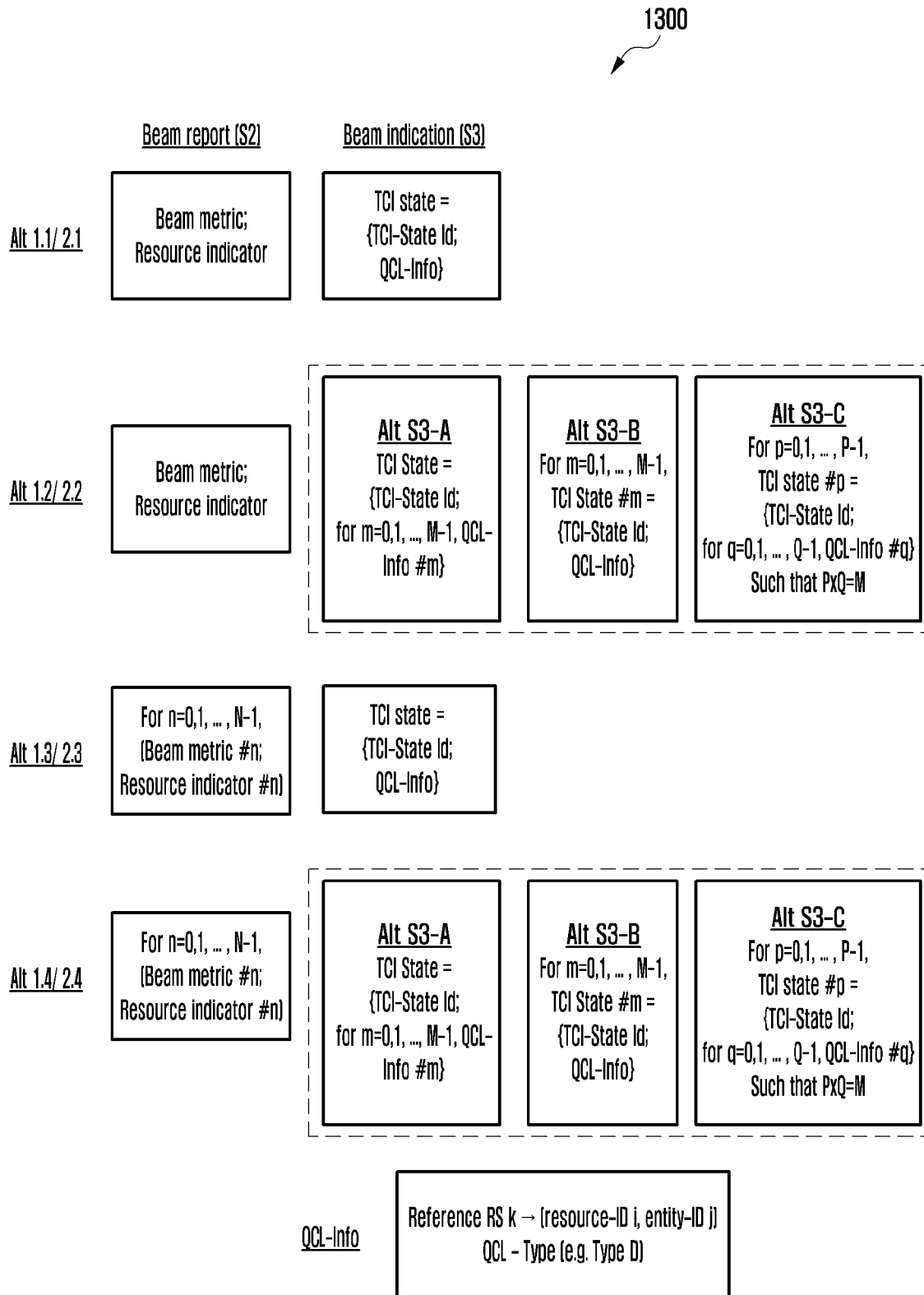
[Fig. 11]



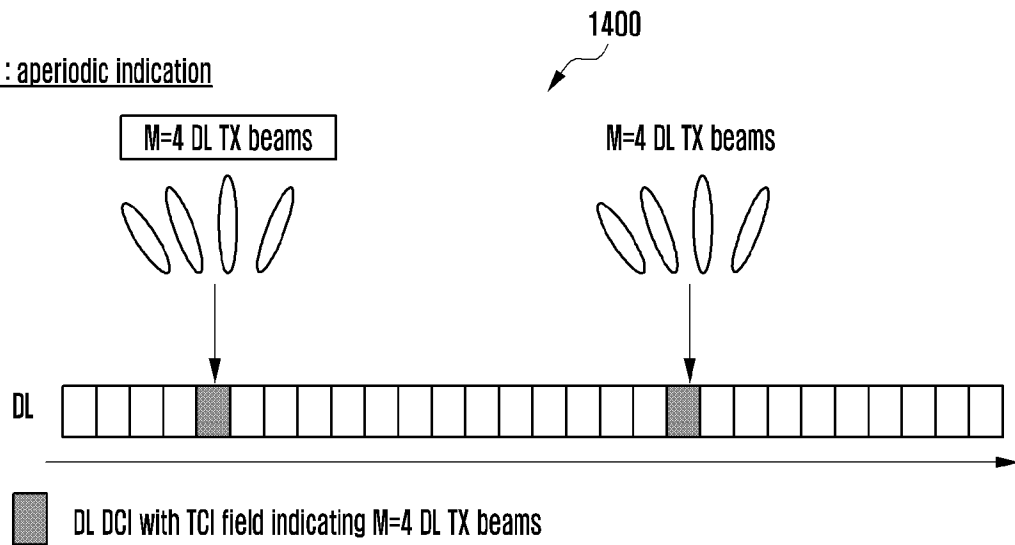
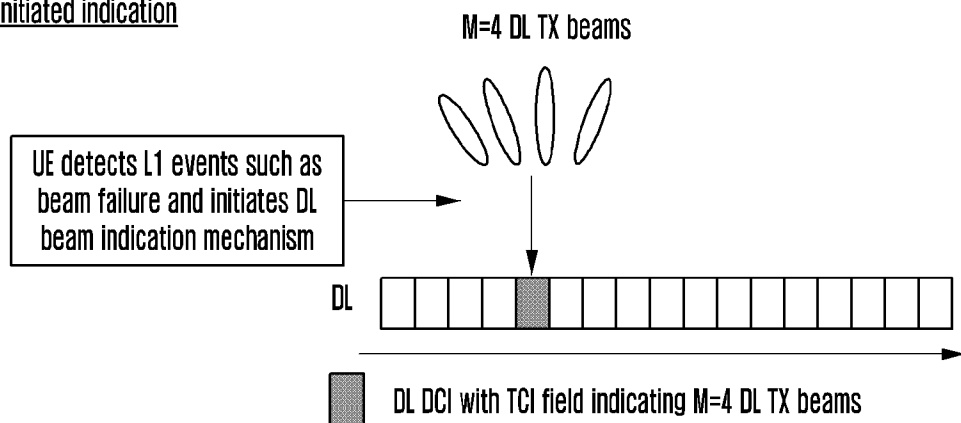
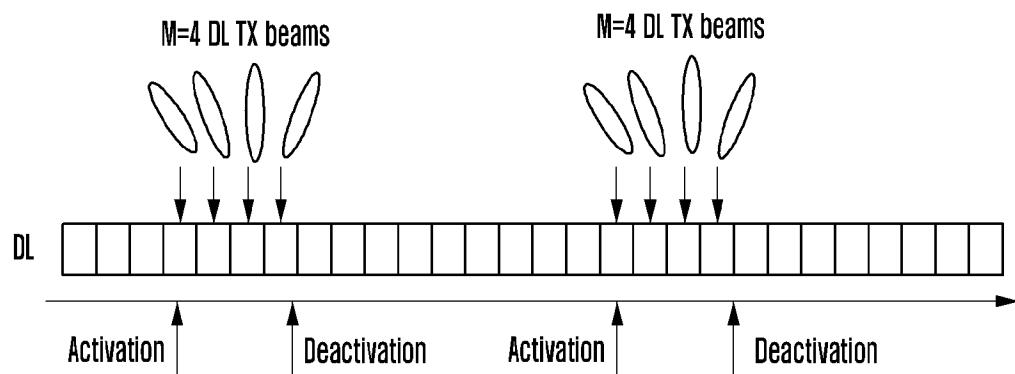
[Fig. 12]



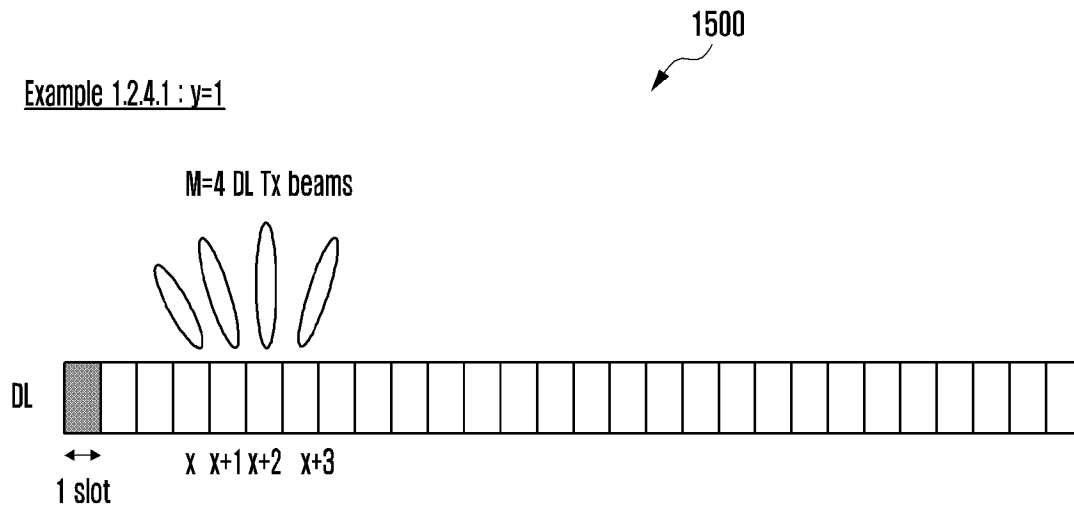
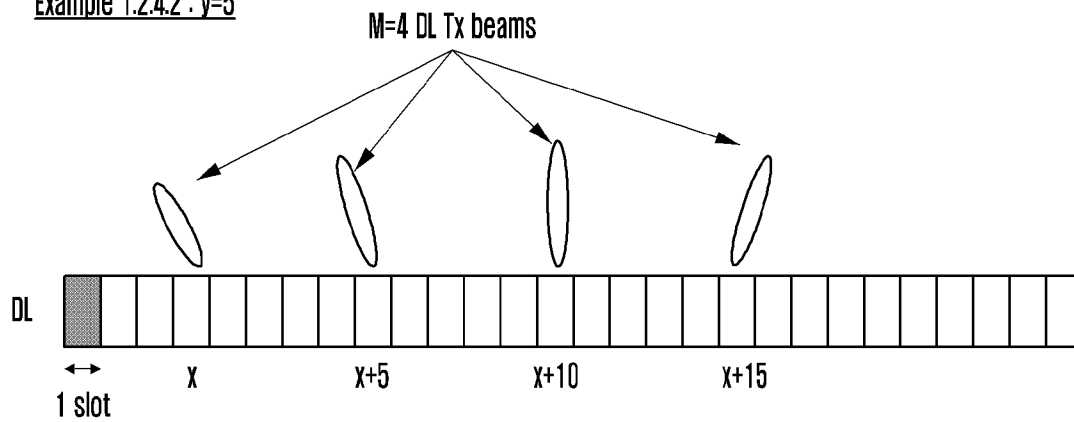
[Fig. 13]



[Fig. 14]

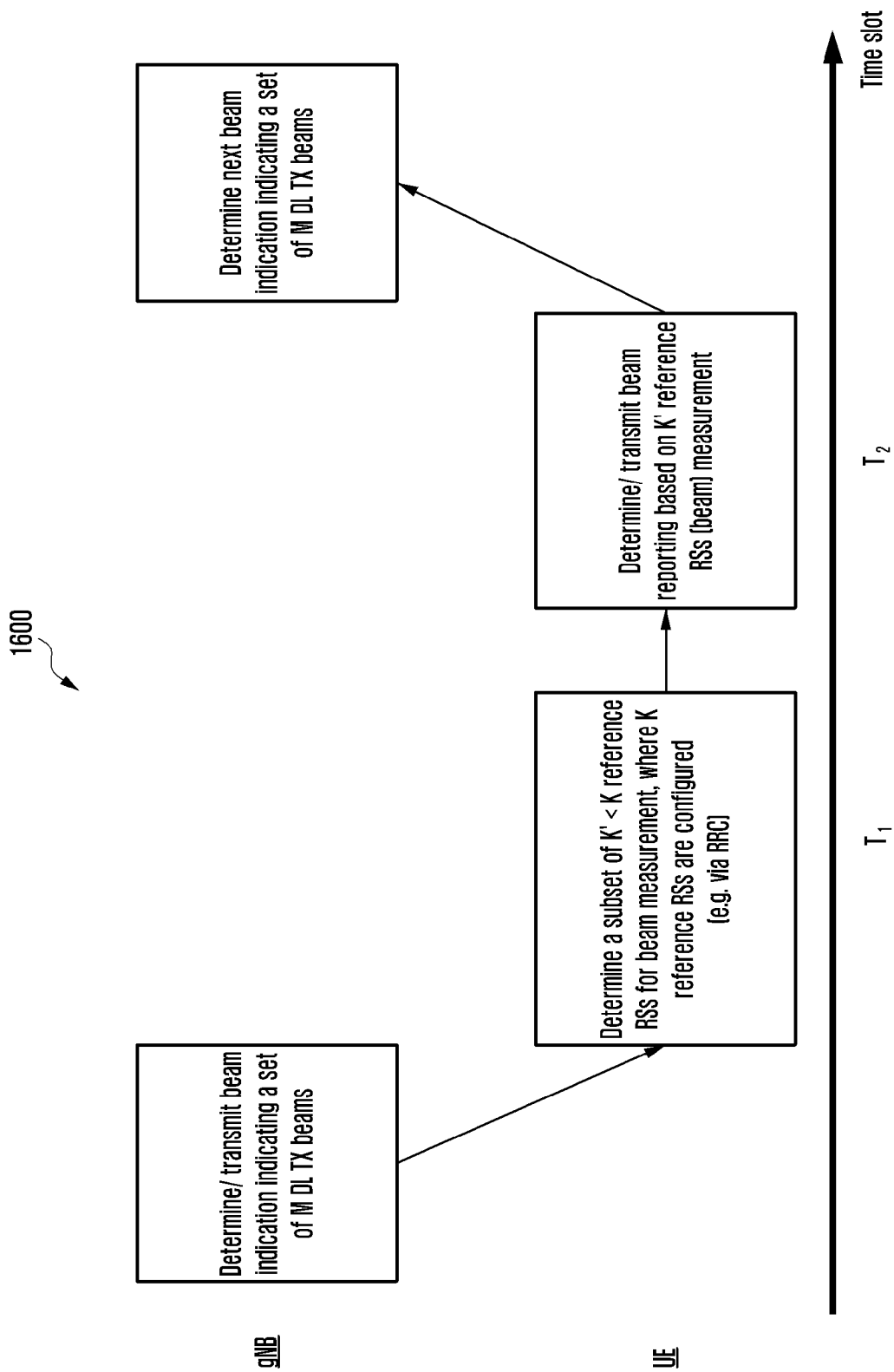
1.2.1 : aperiodic indication1.2.2 : UE-initiated indication1.2.3 : Semi-persistent indication

[Fig. 15]

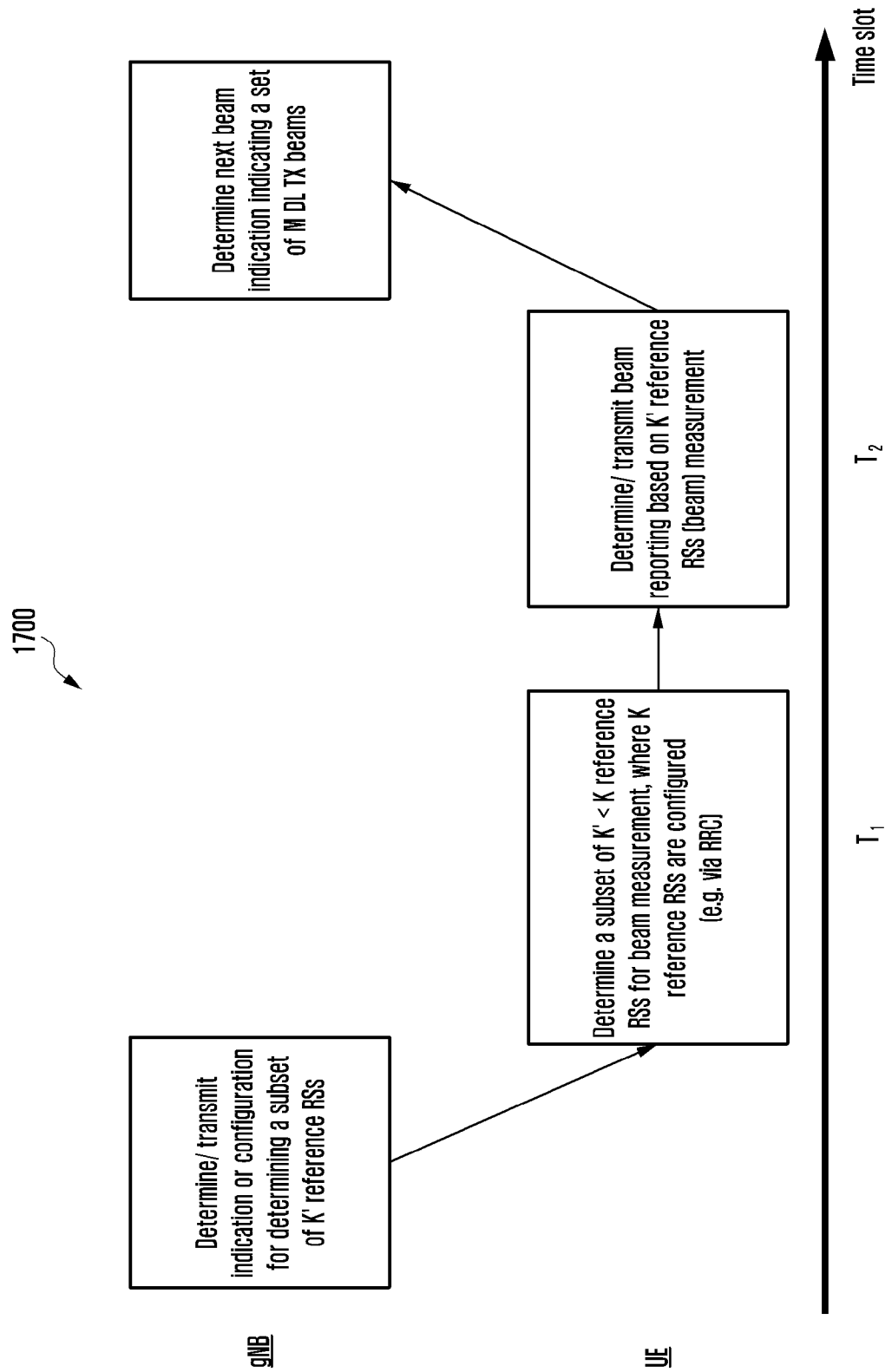
Example 1.2.4.1 :  $y=1$ Example 1.2.4.2 :  $y=5$ 

DL DCI with TCI field indicating M=4 DL TX beams for 4 DL slots

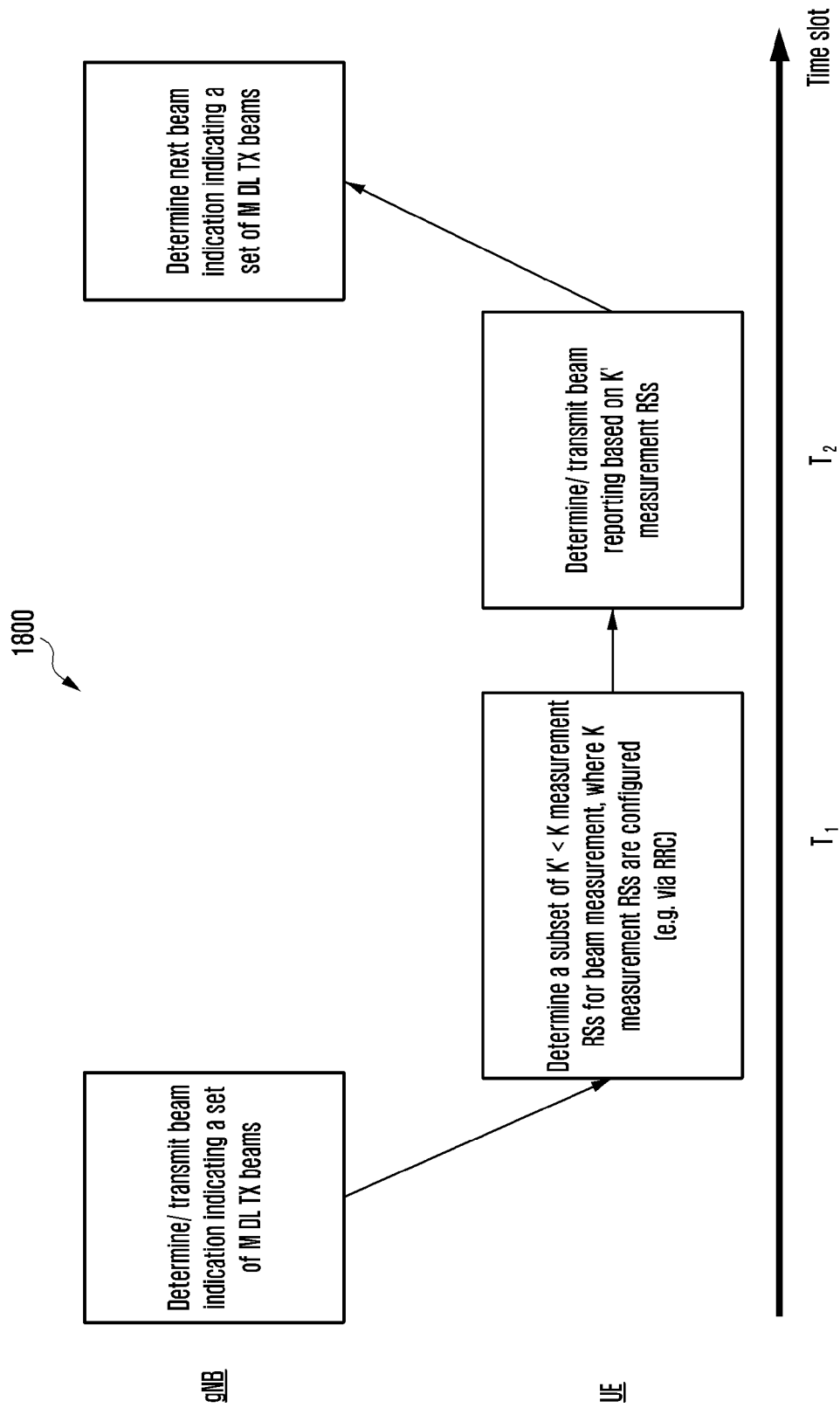
[Fig. 16]



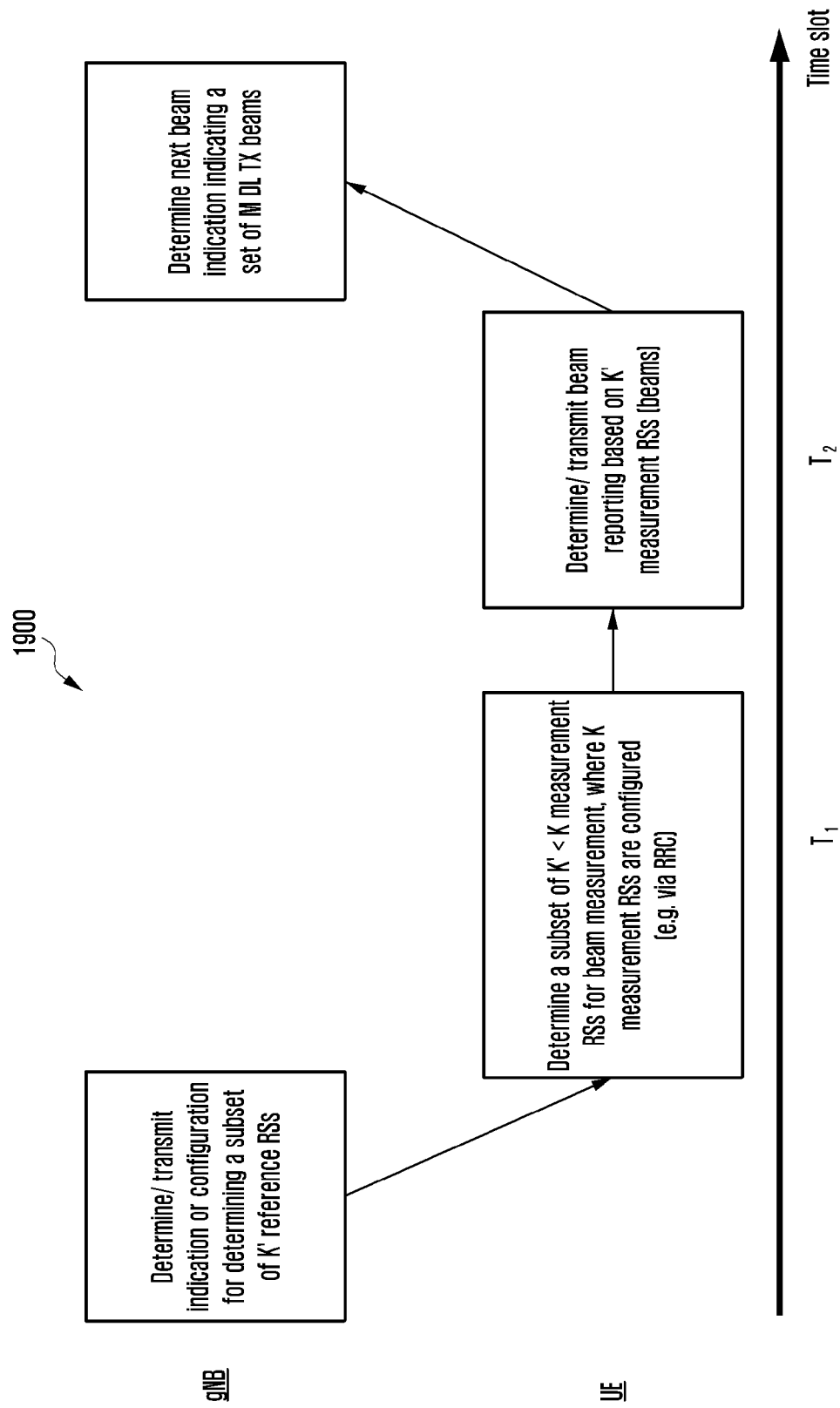
[Fig. 17]



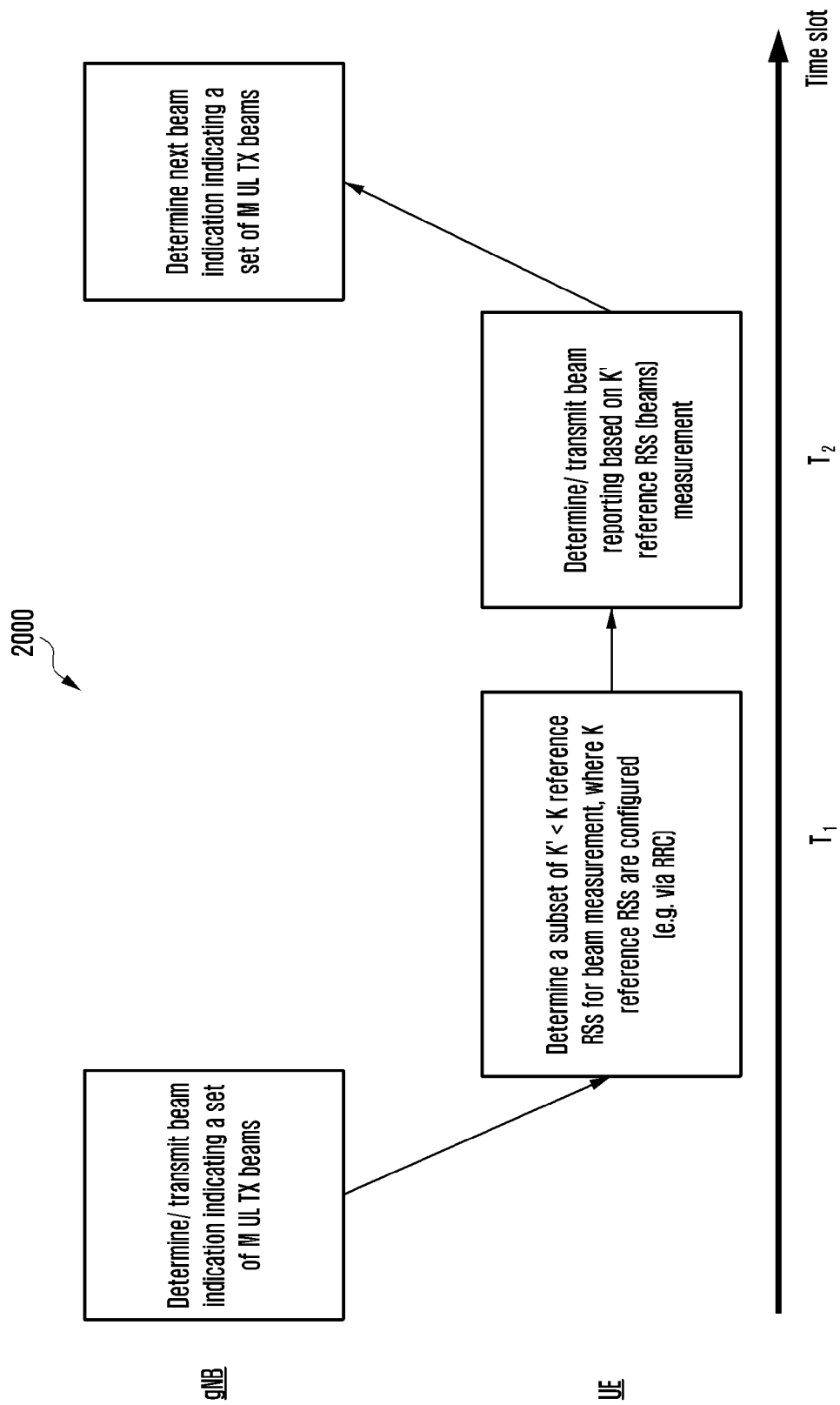
[Fig. 18]



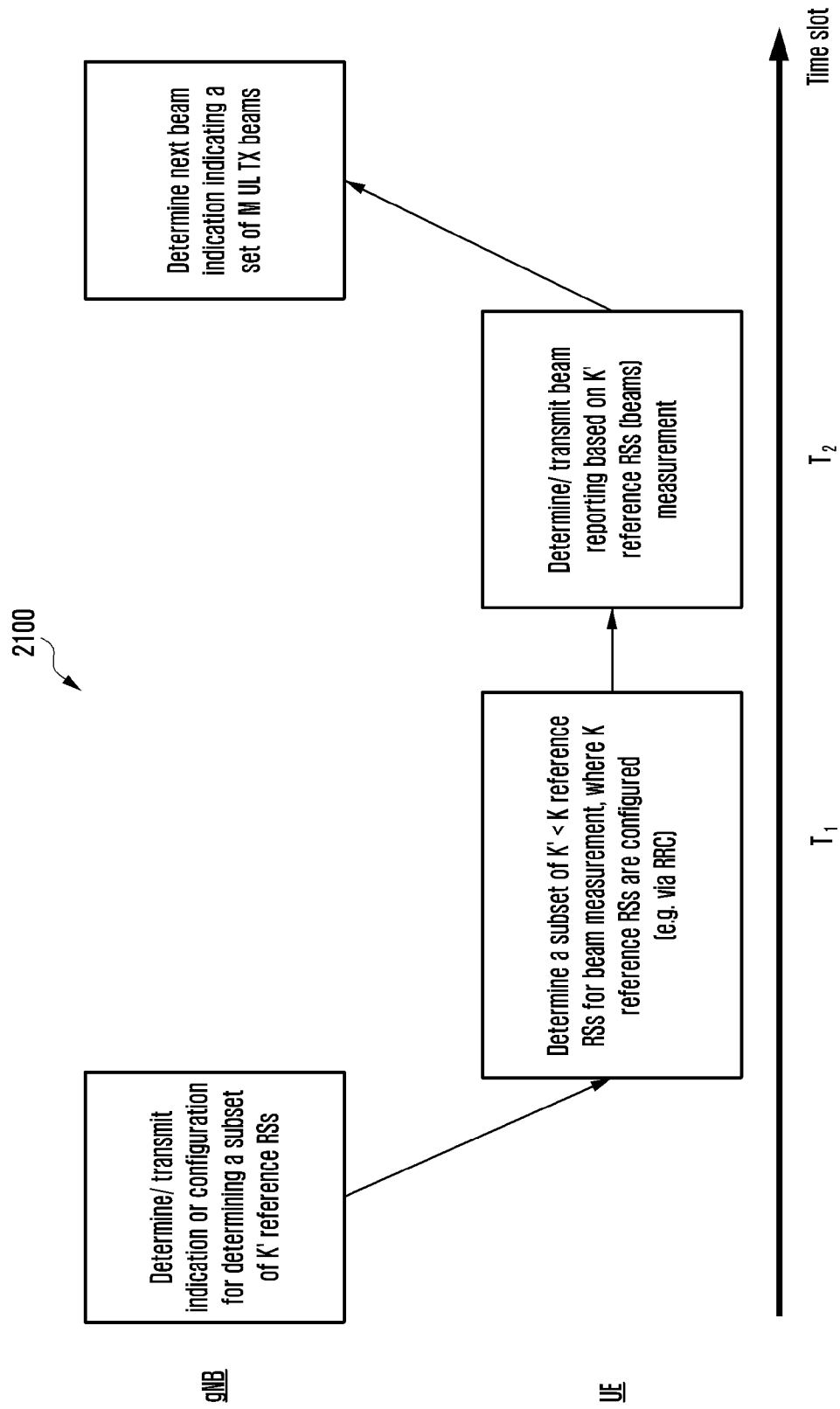
[Fig. 19]



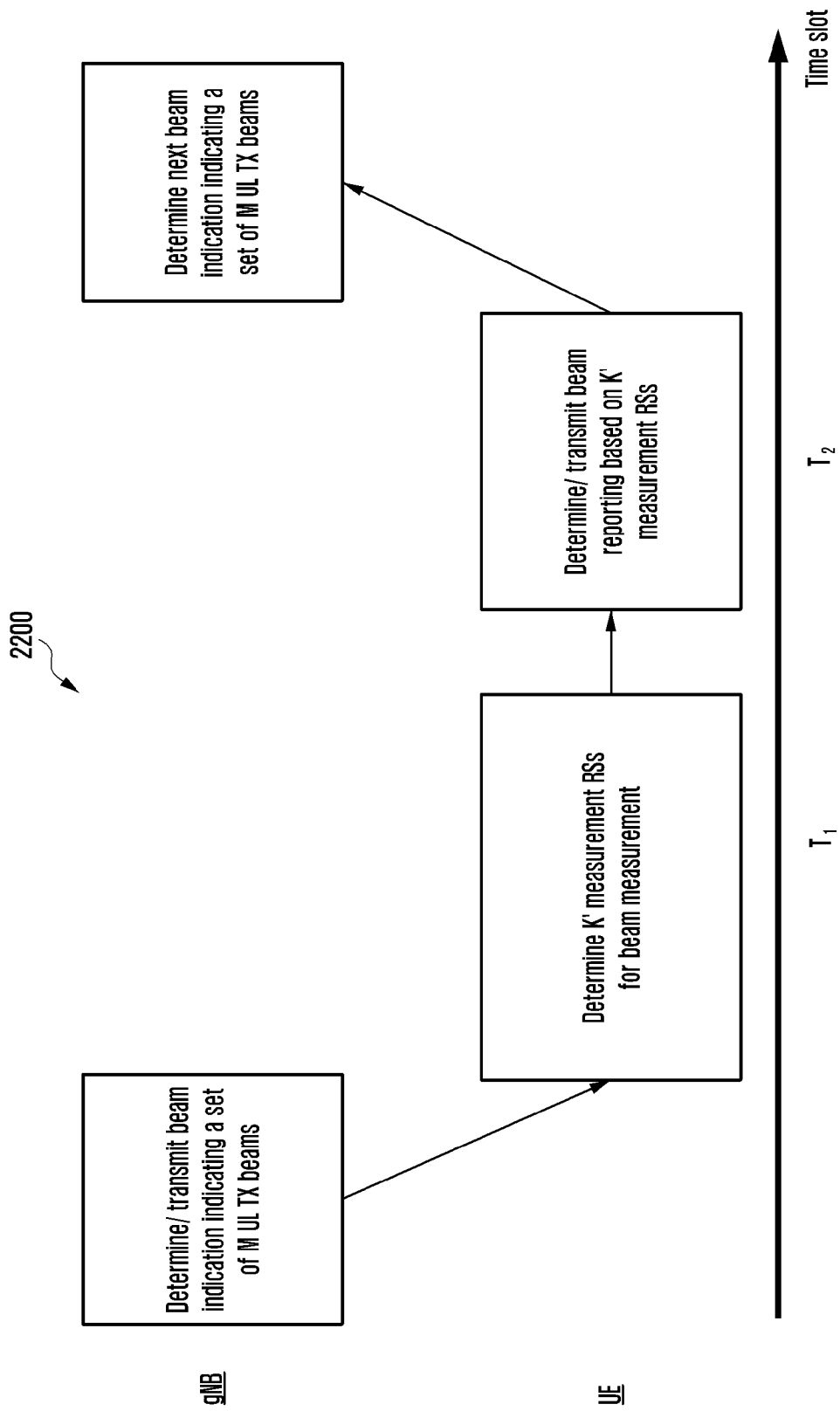
[Fig. 20]



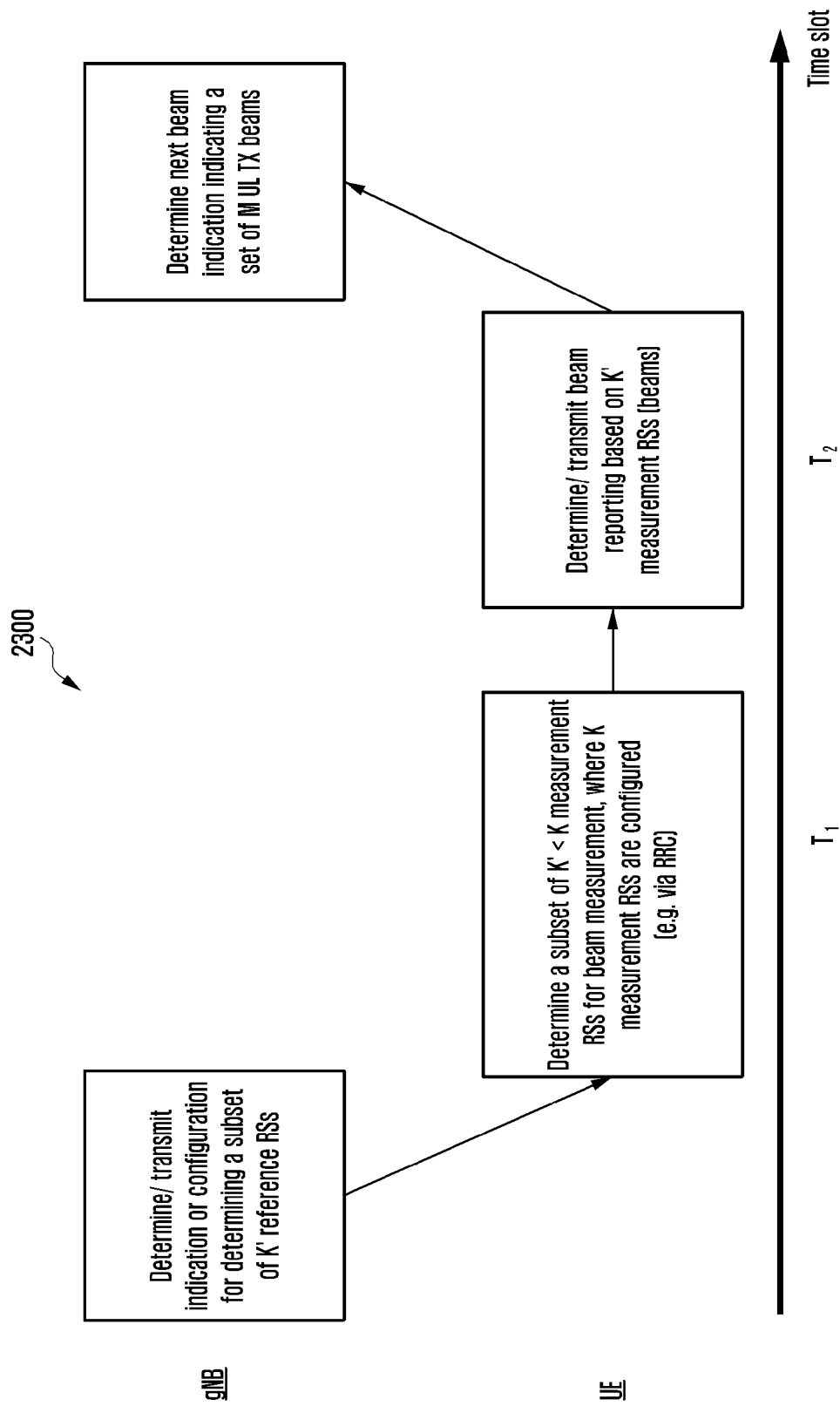
[Fig. 21]



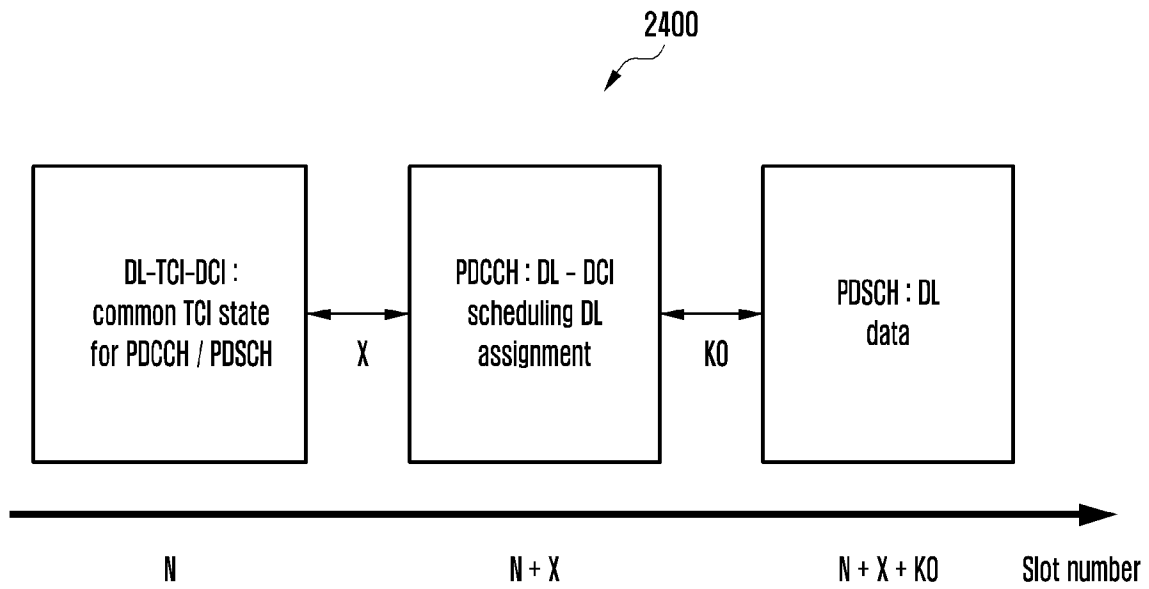
[Fig. 22]



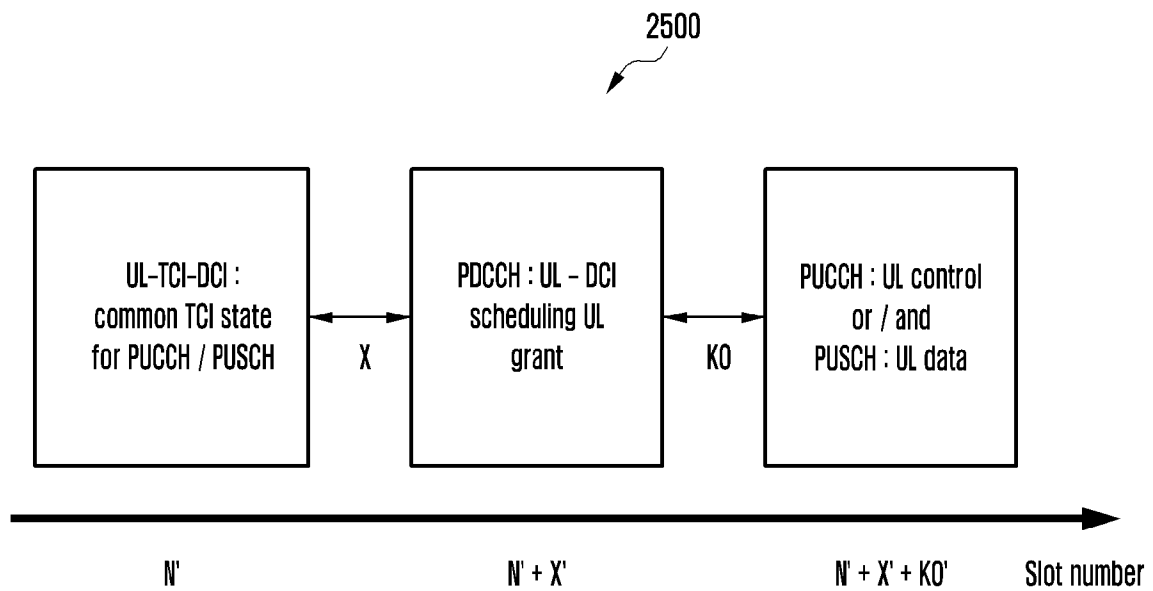
[Fig. 23]



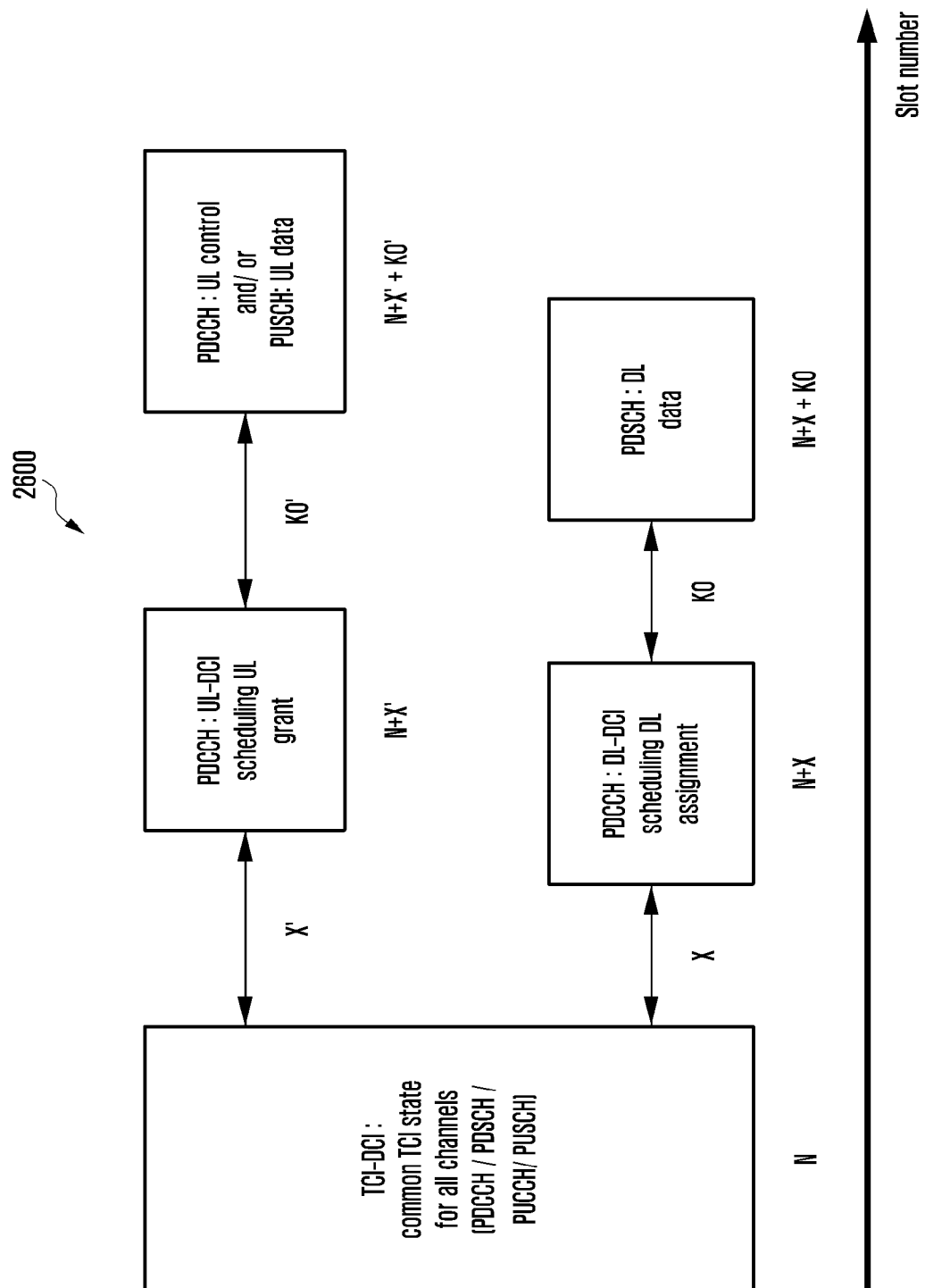
[Fig. 24]



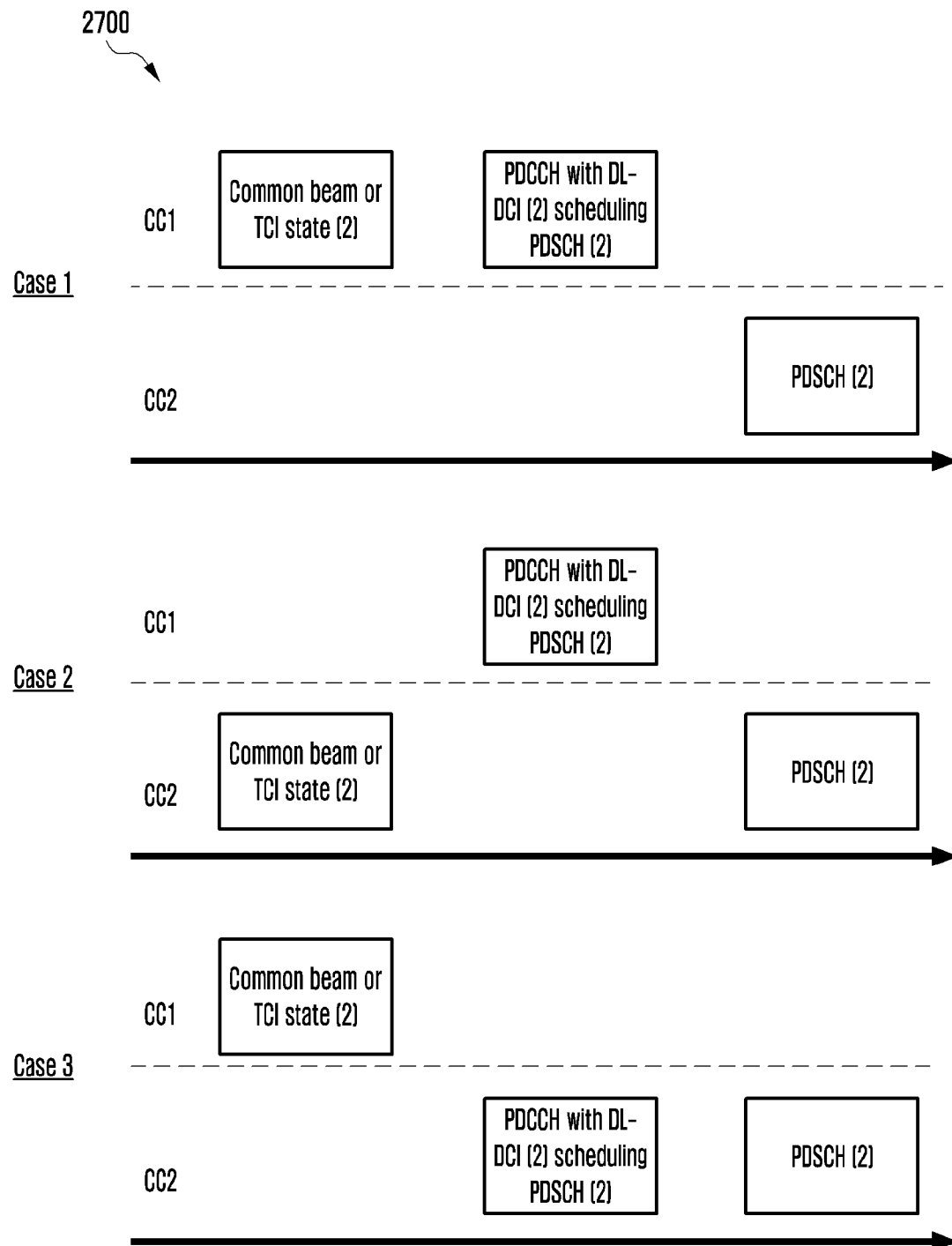
[Fig. 25]



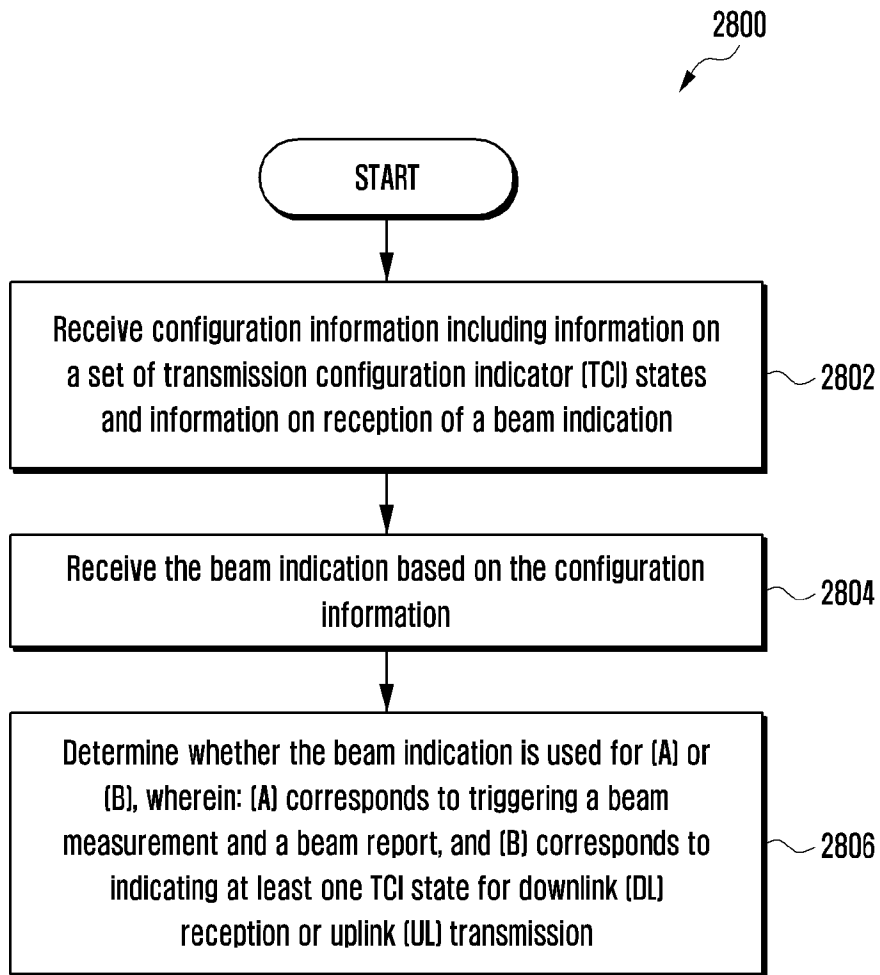
[Fig. 26]



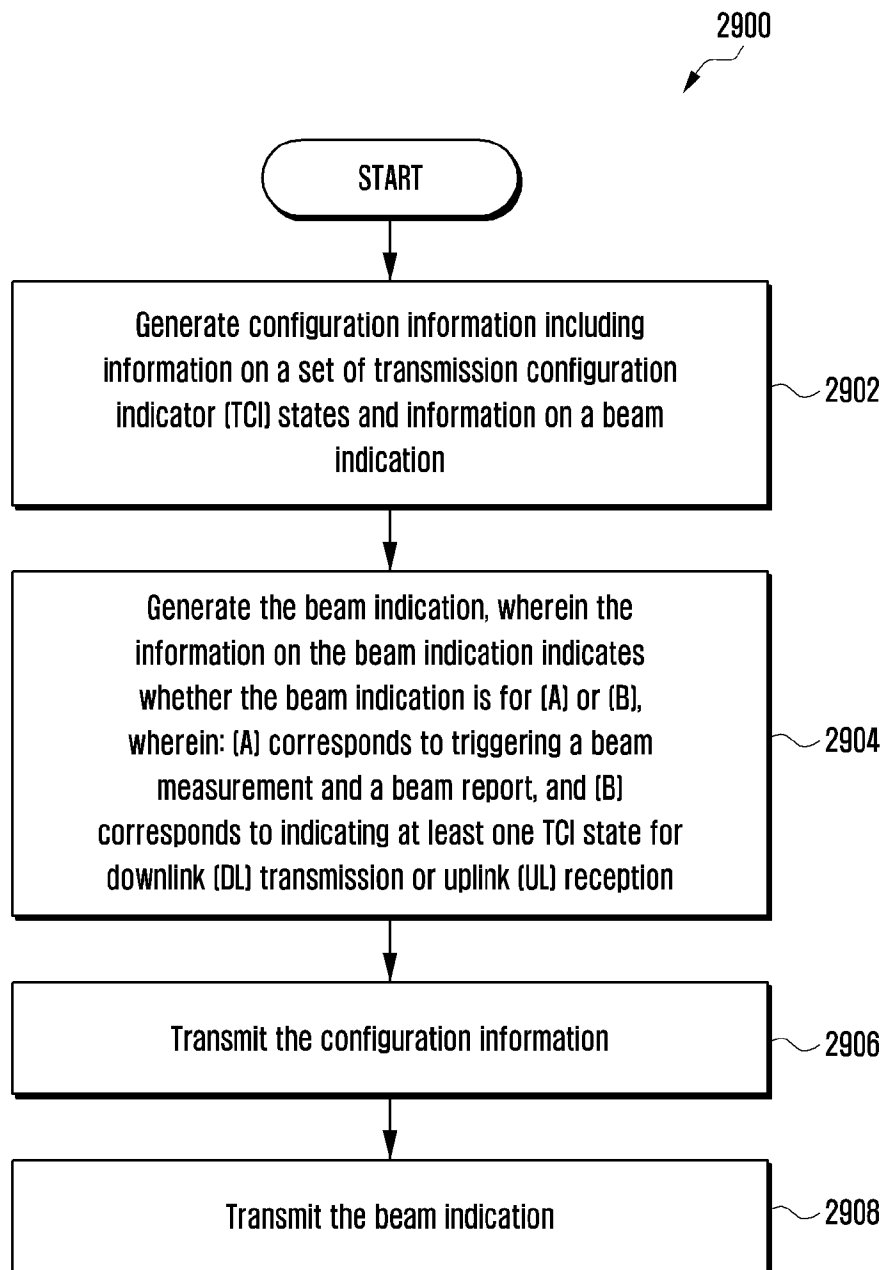
[Fig. 27]



[Fig. 28]



[Fig. 29]



## INTERNATIONAL SEARCH REPORT

International application No.

PCT/KR2021/009206

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| <b>A. CLASSIFICATION OF SUBJECT MATTER</b><br><b>H04B 7/0408(2017.01)i; H04B 7/06(2006.01)i; H04B 7/08(2006.01)i; H04L 5/00(2006.01)i</b><br><br>According to International Patent Classification (IPC) or to both national classification and IPC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>B. FIELDS SEARCHED</b><br><br>Minimum documentation searched (classification system followed by classification symbols)<br>H04B 7/0408(2017.01); H04B 7/08(2006.01); H04W 28/06(2009.01); H04W 72/04(2009.01); H04W 88/10(2009.01)<br><br>Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched<br>Korean utility models and applications for utility models<br>Japanese utility models and applications for utility models<br><br>Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)<br>eKOMPASS(KIPO internal) & Keywords: transmission configuration indicator (TCI) states, beam indication, beam measurement , beam report, reference signals, spatial quasi co-location (QCL)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Category*                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Citation of document, with indication, where appropriate, of the relevant passages                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Relevant to claim No.                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Y<br>A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | HUAWEI et al., Beam indication for control and data channels, R1-1718238, 3GPP TSG RAN WG1 Meeting 90bis, Prague, Czech Republic, 02 October 2017<br>pages 3-7; tables 1-4; and figures 1-2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 1-6,8-12,14,15<br>7,13                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Y                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | SAMSUNG, On Rel. 16 multi-TRP/panel transmission, R1-2003881, 3GPP TSG RAN WG1#101-e, e-Meeting, 15 May 2020<br>pages 3, 5, 12                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 1-6,8-12,14,15                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Y                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | ERICSSON, On beam indication, measurement, and reporting, R1-1718433, 3GPP TSG-RAN WG1 #9 0bis, Prague, Czech Republic, 03 October 2017<br>pages 1, 3, 6                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 3,4,10,11                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | US 2019-0254120 A1 (APPLE INC.) 15 August 2019 (2019-08-15)<br>paragraphs [0134]-[0138]; claims 1-2; and figures 9-10                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 1-15                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | US 2018-0219606 A1 (SAMSUNG ELECTRONICS CO., LTD.) 02 August 2018 (2018-08-02)<br>paragraphs [0099]-[0103], [0156]-[0177]; and figures 18-19                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 1-15                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <input type="checkbox"/> Further documents are listed in the continuation of Box C. <input checked="" type="checkbox"/> See patent family annex.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;">           * Special categories of cited documents:<br/>           "A" document defining the general state of the art which is not considered to be of particular relevance<br/>           "D" document cited by the applicant in the international application<br/>           "E" earlier application or patent but published on or after the international filing date<br/>           "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)<br/>           "O" document referring to an oral disclosure, use, exhibition or other means<br/>           "P" document published prior to the international filing date but later than the priority date claimed         </td> <td style="width: 50%; vertical-align: top;">           "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention<br/>           "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone<br/>           "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art<br/>           "&amp;" document member of the same patent family         </td> </tr> </table> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                       | * Special categories of cited documents:<br>"A" document defining the general state of the art which is not considered to be of particular relevance<br>"D" document cited by the applicant in the international application<br>"E" earlier application or patent but published on or after the international filing date<br>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)<br>"O" document referring to an oral disclosure, use, exhibition or other means<br>"P" document published prior to the international filing date but later than the priority date claimed | "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention<br>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone<br>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art<br>"&" document member of the same patent family |
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| Date of the actual completion of the international search<br><b>25 October 2021</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Date of mailing of the international search report<br><b>26 October 2021</b>          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Name and mailing address of the ISA/KR<br><b>Korean Intellectual Property Office<br/>189 Cheongsu-ro, Seo-gu, Daejeon<br/>35208, Republic of Korea</b><br>Facsimile No. +82-42-481-8578                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Authorized officer<br><br><b>YANG, JEONG ROK</b><br><br>Telephone No. +82-42-481-5709 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

**INTERNATIONAL SEARCH REPORT**  
**Information on patent family members**

International application No.

**PCT/KR2021/009206**

| Patent document<br>cited in search report |              |    | Publication date<br>(day/month/year) | Patent family member(s) |                 |    | Publication date<br>(day/month/year) |
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