



# Test specification and certification requirement for 5G user equipment

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## Course Objectives:

- UE Conformance test aspects 5G system with NR and LTE
- Global Certification requirements
- Research progress of 5G chipset and UE
- Conformance Test solutions





## Agenda

- UE Conformance test aspects 5G system with NR and LTE
  - 5G typical scenarios
  - 5G RAN architecture
  - 5G NR Roadmap
  - Technical specification
  - UE conformance specification
  - 5G NR testing challenges
- Global Certification requirements
- Research progress of 5G chipset and UE
- Conformance Test solutions

# **5G** typical scenarios





### **eMBB** (Enhanced Mobile Broadband)





### **URLLC (Ultra-reliable and Low Latency Communications)**

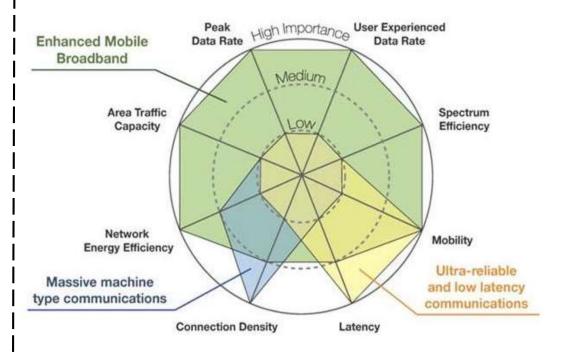




### **mMTC (Massive Machine Type Communications)**







### **Performance requirements**



N

S

A





• 5G UE requires an anchor LTE radio connection with an eNB.

• UE adds a secondary 5G NR connection.

CP function

UP function

VP function

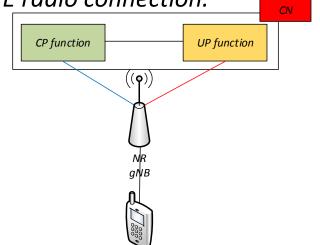
VR

eLTE

eNB

QNB

 5G UE operates connected with an anchor gNB without a need for an LTE radio connection.



Option	SA/NSA	Structures (=: CP+UP, -UP)
Option 2	SA	5G-CN = NR
Option 3/3a/3x	NSA	EPC = LTE - NR
Option 4/4a	NSA	5G-CN = NR -LTE
Option 5	SA	5G-CN = LTE
Option 7/7a/7x	NSA	5G-CN = LTE - NR

### **Vocabulary:**

S

- **CP:** Control-Plane
- > UP: User-Plane
- > CN: Core Network
  - NGC: 5G Core
  - EPC: LTE Core
- **BS:** Base Station
  - eNB: LTE BS
    - gNB: 5G BS

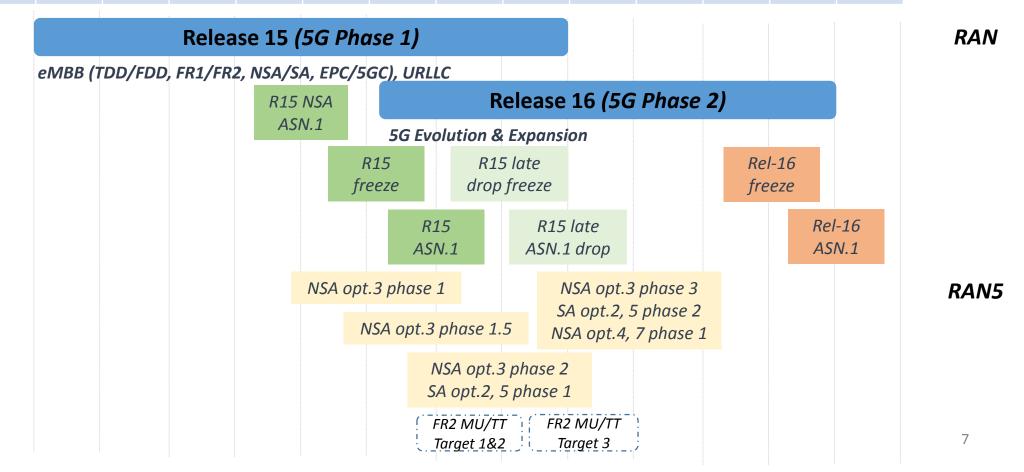








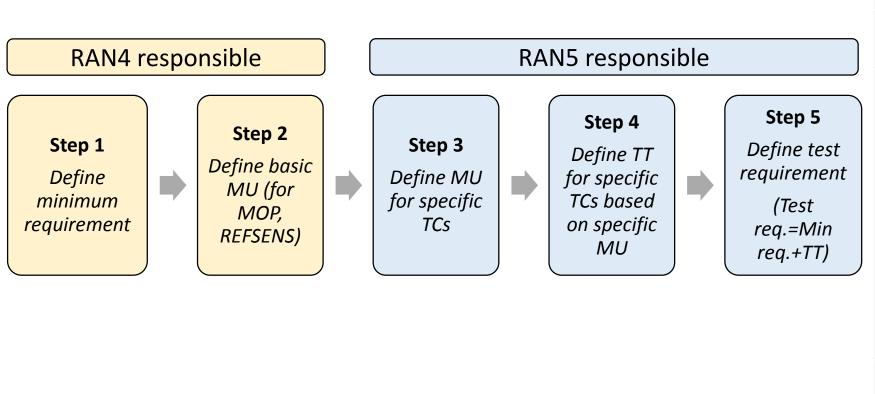
2017			2018			2019				2020			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2











Priority	Test case
1st	Maximum output power
Priority	REFSENS
	Transmit OFF power
	Frequency Error
	Occupied bandwidth
	Spectrum emission mask
2nd Priority	Adjacent Channel Leakage Ratio
	General spurious emissions
	Spurious emissions for UE co- existence
	Receiver Spurious emissions
3rd Priority	Other TCs

# **5G NR roadmap -** NSA option 3 delivery phases

and targets

### NSA option 3 phase 1 content

- Protocol
  - TS 38.523-x
    - 54 NR Layer 2 test cases: 23 MAC, 17 RLC and 14 PDCP
    - 12 RRC test cases for single NR cell scenarios
    - 3 NAS EPC test cases

### NSA option 3 phase 1.5 content

TARGET AUG-18

TARGET MAY-18 (Completed!)

EN-DC golden test cases shall be

selected among these test case

- RF
  - TS 38.521-3, TS 38.522, TS 38.521-1, TR 38.903, TR 38.905
    - Test definition, MU for all LTE+NR FR1 Rx and Tx test cases
    - Progress on Test definition for all LTE+NR FR2 Rx and Tx test cases

Frequency range designation

FR1

450 MHz - 6000 MHz

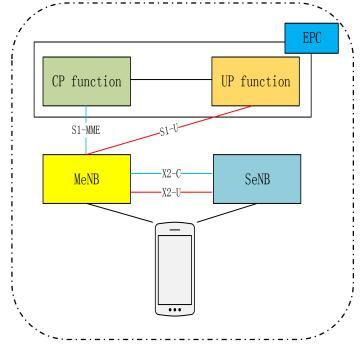
FR2

24250 MHz - 52600 MHz

mmWave







Option 3: E-UTRA-NR DC via EPC where the E-UTRA is the master

# **5G NR roadmap -** NSA option 3 delivery phases

# and targets

### NSA option 3 phase 2 content



- RF-TS 38.521-3, TS 38.522, TS 38.521-1, TS 38.521-2, TR 38.903, TR 38.905
  - FR1: Rx and Tx test cases not completed in NSA Opt.3 Phase 1, FR2 RF MU/TT Target 1 and Target 2 test cases
- Protocol-TS 38.523-x, TS 37.571-x
  - Enhanced test coverage for Layer 2,RRC test coverage, L1 configurations, etc (32 test case: 4MAC, 28RRC)

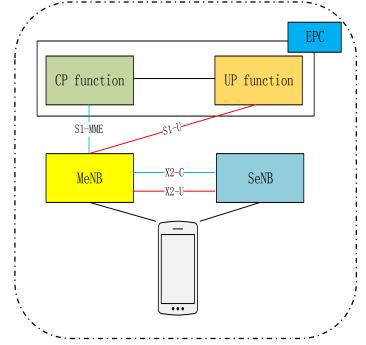
### NSA option 3 phase 3 content



- RF&RRM- TS 38.521-3, TS 38.522, TS 38.521-1, TS 38.521-2 TS 38.521-4, TS 38.533, TR 38.903, TR 38.905
  - TT part for RF MU/TT Target 3 test cases, Demod/CSI reporting, RRM
- Protocol- TS 38.523-x, TS 34.229-x, TS 37.571-x:
  - Remaining test cases not completed in NSA Opt.3 Phase 2







Option 3: E-UTRA-NR DC via EPC where the E-UTRA is the master

# **5G NR roadmap -** SA option 5 delivery phases and targets

### **SA option 5 Phase 1 content**



- Protocol
  - TS 38.523-x
    - Adoption legacy E-UTRA test cases for 5GC
    - New AS test cases for RRC connected to 5GC
    - Basic NAS 5GC test cases

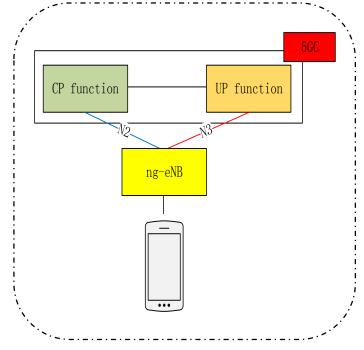
## **SA option 5 Phase 2 content**



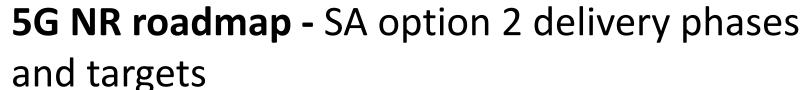
- Protocol
  - TS 38.523-x, TS 34.229-x, TS 37.571-x
    - Enhanced test coverage for SA Opt.5





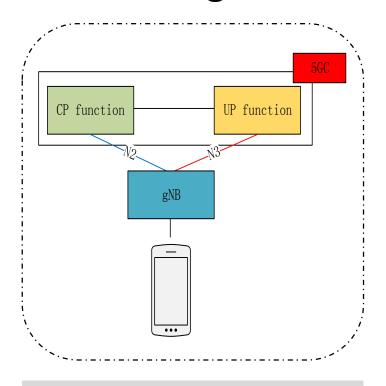


Option 5: Standalone LTE, 5GC connected









Option 2: Standalone NR, 5GC connected

### **SA option 2 phase 1 content**



- RF TS 38.521-1, TS 38.521-2, TR 38.903, TR 38.905
  - all FR1 test cases, FR2 RF MU/TT Target 1 and Target 2 test cases
- Protocol- TS 38.523-x
  - Basic NR SA Layer 2, basic NAS 5GC test cases

### **SA option 2 phase 2 content**



- RF&RRM TS 38.521-1, TS 38.521-2, TS 38.521-3, TS 38.521-4, TS 38.533, TR 38.903, TR 38.905
  - FR2 Rx and Tx RF MU/TT target 3 test cases, Demod/CSI reporting, RRM
- Protocol TS 38.523-x, TS 34.229-x, TS 37.571-x
  - Enhanced test coverage for NR SA Layer 2, SA NR positioning test cases, IMS





# **Technical specification -** 5G NR RAN4 to RAN5 RF/RRM specs mapping

RAN4 Specs	Comments	RAN5 Specs	Comments
38.101-1	Establish the minimum RF characteristics and minimum performance requirements for NR User Equipment (UE) operating on frequency Range 1.	38.521-1	Radio transmission and reception; Part 1: Range 1 Standalone
38.101-2	Establish the minimum RF characteristics and minimum performance requirements for NR User Equipment (UE) operating on frequency Range 2.	38.521-2	Radio transmission and reception; Part 2: Range 2 Standalone
38.101-3	Establish the minimum RF characteristics and minimum performance requirements for NR User Equipment (UE) Interworking operation with other radios. (Full NR f1 +NR f2 and NR+LTE RF spec)	38.521-3	Radio transmission and reception; Part 3: Range 1 and Range 2 Interworking operation with other radios
38.101-4	TS for NR UE performance requirements.  Different chapters for: NR range 1, NR range 2, NR interworking	38.521-4	Radio transmission and reception; Part 4: Performance
38.133	Specify requirements for support of Radio Resource Management for the FDD and TDD modes of New Radio(NR)	38.533	Radio resource management (RRM)





# **Technical specification -** 5G NR RAN2 to RAN5 protocol specs mapping

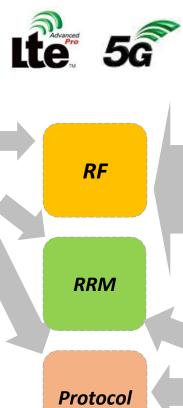
RAN2 Specs	Comments	RAN5 Specs	Comments
38.304	User equipment procedures in idle mode and in RRC inactive state	38.523-1	
38.321	Medium Access Control (MAC)		Specify the protocol conformance
38.322	Radio Link Control (RLC)		testing for the 3GPP UE connecting to the 5G System (5GS) via its radio
38.323	Packet Data Convergence Protocol (PDCP)		interface(s).
38.331	Radio Resource Control (RRC)		. , ,
37.324	Service Data Adaptation Protocol (SDAP)		







Spec no.	Title
36.508	Common test environment
36.509	Special conformance testing functions
36.521-1	Radio transmission and reception
36.521-2	ICS
36.521-3	Radio resource management
36.523-1	Protocol
36.523-2	ICS
36.523-3	Test Suites



Title
Common test environment
Common Implementation Conformance Statement (ICS) proforma
Special conformance testing functions
Radio transmission and reception; Part 1: Range 1 Standalone
Radio transmission and reception; Part 2: Range 2 Standalone
Radio transmission and reception; Part 3: Range 1 and Range 2 Interworking operation with other radios
Radio transmission and reception; Part 4: Performance
Applicability of radio transmission, radio reception and radio resource management test cases
Radio resource management
Part 1: Protocol
Part 2: Applicability of protocol test cases
Part 3: Protocol Test Suites





# **Technical specification -** Technical status

- The estimated overall completion of WI: **15**%
- The estimated completion per RAN-CN interface options and delivery phase:

	SA										
Optio	Option 2 Option 5			Option 3				Option	14	Option 7	
1	2	1	2	1	1.5	2	3	1	2	1	2
RAN5#81 (Nov-18)	RAN5#83 (May-19)	RAN5#81 (Nov-18)	RAN5#83 (May-19)	RAN5#79 (May-18)	RAN5#80 (Aug-18)	RAN5#81 (Nov-18)	RAN5#83 (May-19)		-	RAN5#83 (May-19)	-
16%	0%	4%	0%	100%	26%	48%	1%	13%		18%	
(+2%)	(+0%)	(-1%)	(+/-0%)	(+58%)	(+26%)	(+40%)	(+1%)	(+2%)		(+6%)	

<sup>\*</sup> Refer to R5-182333





# **Technical specification -** Technical status

• The estimated completion per work plan sub-areas and RAN-CN interface options :

<sup>\*</sup> Refer to R5-182333

		SA				NSA							
	Option:	Opti	on 2	Opt	ion 5		Opti	on 3		Option	14	Option	7
	Phase:	1	2	1	2	- 1	1.5	2	- 3	1	2.	31	2
8	Target date:												
Area	TS/TR	(Nov-18)	(May-19)	(Nov-18)		(May-18)	(Aug-18)		RAN5#83 (May-19)	(May-19)	-	(May-19)	-
WP sub-areas	TS/TR				to a second constant	107	and the second			-	a service and		
UE test functions	38.509	13%		23%		100%		35%		13%		23%	
Common ICS	38.508-2	57%		57%		100%				57%		57%	
Common test environment	38.508-1	35%	0.96	9%		100%	39%	19%	0%	28%		32%	
RF Tx Rx FR1	38.521-1 38.522	16%	086										
RF Tx Rx FR2	38.521-2 38.522	10%	0%										
RF Tx Rx Interworking FR1, F	38,521-3 38,522						17,8%	096		096		14,6%	
RF performance	38.521-4 38.522		0%		096				096	0%		0%	
RRM	38.533 38.522		3%		.044				10-46	0%		0%	
MU/TT	TR 38.903	3%	0.96					3%		196		196	
Test points analysis	TR 38.905	92%					92%			92%		92%	
Protocol Layer 2	38.523-1 38.523-2	34%				100%		0%		35%		47%	
Protocol Idle Mode	38.523-1 38.523-2									0%			
Protocol RRC	38.523-1 38.523-2	0194				100%		74%	6%	0%			
Protocol EPC Option 3	38.523-1, 36.508					100%							
Protocol 5GC	38.523-1 38.523-2	0%		0%						0%		0%	
Positioning	37.571-x			0%		<b>Y</b>				0%			
Protocol IMS	34.229-x		0.96						0%	0%		0%	
Protocol Test Models	38.523-3 36.523-3 34.229-3 37.571-4	20%		18%		100%		1196		19%		20%	

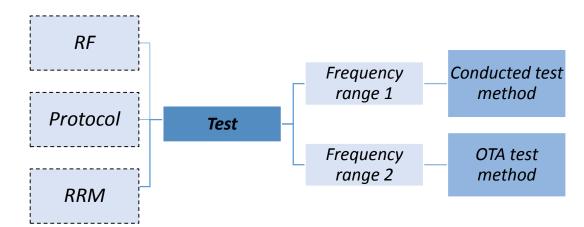






- All test equipment used to perform conformance testing for frequency range 1 on a UE shall provide the following minimum functionality:
  - Conducted test method
- All test equipment used to perform conformance testing for frequency range 2 on a UE shall provide the following minimum functionality:
  - OTA test method

Clause suffix	Variant
None	Single Carrier
Α	Carrier Aggregation (CA)
В	Dual-Connectivity (DC)
С	Supplement Uplink (SUL)
D	UL MIMO



# **Frequency ranges**

Range 1: Conducted (OTA is not precluded)

Range 2: Only OTA





Note: threshold
 frequency of conducted
 and OTA tests (i.e. [6]
 GHZ) can be further
 discussed.

Ra	nge 1	Range 2	frequency		
0 Hz	[6] GHz	[ <del>24]</del> GHz — — — —	100	GHz	
NR operating band	UL	DL	Duplex mode		
n41	2496MHZ-2690MHZ	2496MHZ-2690MHZ	TDD		
n71	663MHZ-698MHZ	617-652MHZ	FDD		
n77	3.3-4.2GHZ	3.3-4.2GHZ	TDD		
n79	4.4-5.0GHZ	4.4-5.0GHZ	TDD		

NR operating band	UL	DL	Duplex mode
n257	26.5-29.5GHZ	26.5-29.5GHZ	TDD
n258	24.25-27.5GHZ	24.25-27.5GHZ	TDD
n259	40.5-43.5GHZ	40.5-43.5GHZ	TDD
n260	37-40GHZ	37-40GHZ	TDD





# **UE conformance specification -** Conducted vs.

### **OTA** test

- OTA based test is required for mmWave in 5G NR
  - Reasons:
    - Large pass loss by coaxial cable
    - It is difficult to equip connector on AiP (Antenna in Package) /AoC (Antenna in Chip) front end
    - Cabling cannot test beamforming
      - Beamforming both BS and UE (only BS has beamforming in LTE)

	Conducted	ОТА			
Measurement uncertainty	< 1 dB	2 dB to 6 dB			
Test time	Fast	Slow due to 3D aspects			
Connectivity cost	Low (cables)	High (shielded chambers)			
Predictor of end-user performance	Increasingly unrealistic	Realistic			







### **Direct far field (DFF)**

- Manufacturer declaration
  - Manufacturer declares antenna array size
- EIRP, TRP, EIS, EVM, spurious emissions and blocking metrics can be tested.

### **Indirect far field (IFF)**

- Definition
  - The IFF method creates the far field environment using a transformation with a parabolic reflector. This is also known as the compact antenna test range (CATR).
- Manufacturer declaration :
  - No manufacturer declaration is needed
- EIRP, TRP, EIS, EVM, spurious emissions and blocking metrics can be tested.

# Near field to far field transform (NFTF)

- Definition
  - The NFTF method computes the metrics defined in Far Field by using the Near Field to Far Field transformation.
- Manufacturer declaration :
  - Manufacturer declares antenna array size
- EIRP, TRP, and spurious emissions metrics can be tested.

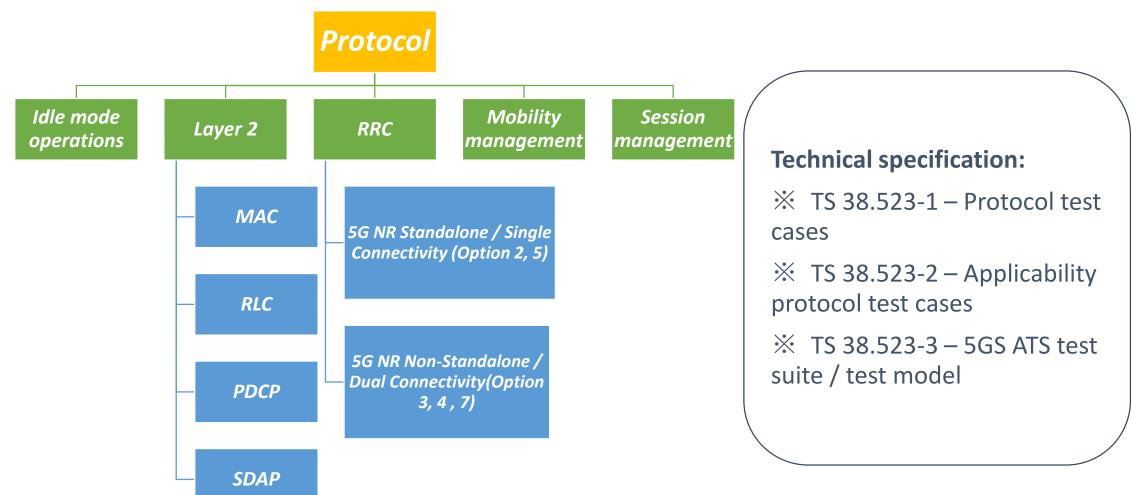
Conformance testing for frequency range 2 in extreme conditions needs further discussion

<sup>\*</sup> Refer to TR 38.810













# **UE conformance specification - Protocol**

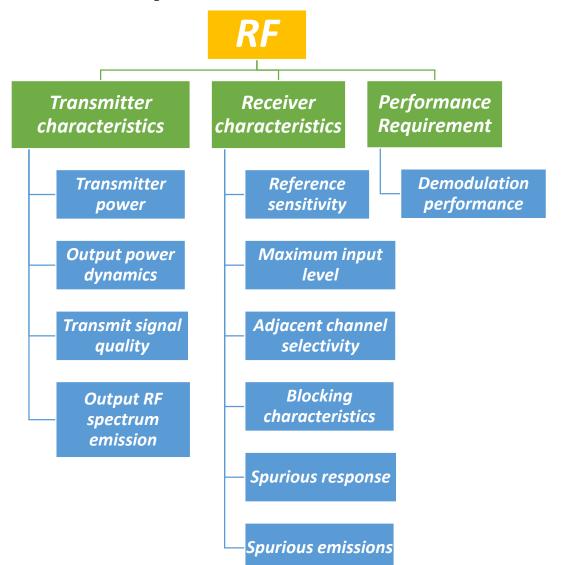
### 5G NR RAN5 – Protocol test case number estimations

5GS Rel-15	TCs # estimates	Comments
NSA option 3 (EN-DC)	Phase 1:69 Phase 2:32 Phase 3:TBC Total: 101	TC breakdown — MAC: 27, RLC:17, PDCP:14, RRC:40, EPC:3 Note: Phase 3 may contain TCs for NR L1/L2 flexibility testing
SA option 2,5 ~250 Including		Including all layers of option 3 + Idle mode, NR SDAP/RRC, 5GC, inter-RAT with 4G
NSA option 4,7	~75	Option 4: extension of option 2, test scope limited to DC Option 7: extension of option 5, test scope limited to DC
IMS	~75	Voice, video, SMS, emergency, codecs,
Positioning	~40	
TOTAL	~541	23









### **Technical specification:**

- X TS 38.521-1 Transmitter & Receiver test cases FR1
- X TS 38.521-2 Transmitter & Receiver test cases FR2
- X TS 38.521-3 Transmitter & Receiver test cases interworking LTE, FR1, FR2
- ※ TS 38.521-4 − Performance requirements







Blocking characteristics

Transmitter power

power

Output power dynamic

Transmitter signal quality

Output RF spectrum emissions

FR1 (Transmitter)
UE maximum output power
Maximum Power Reduction (MPR)
UE additional maximum output power reduction
Configured transmitted power
Minimum output power
Transmit OFF power
Transmit ON/OFF time mask
Power Control
Frequency error
Transmit modulation quality
Occupied bandwidth
Out of band emission
Spurious emissions

Transmit intermodulation

FR1 (Receiver)
Reference sensitivity power level
Maximum input level
Adjacent channel selectivity
In-band Blocking
Out-of-band blocking
Narrow band blocking
Spurious response
Receiver intermodulation
Receiver Spurious emissions

\*\* Test configurations (environmental conditions, test frequencies, test channel bandwidths, sub-carrier spacing based on NR operating bands, etc.) become more complex.







Blocking characteristics

Transmitter power

Output power dynamic

Transmitter signal quality

Output RF spectrum emissions

Spurious emissions

23 (carrarace).
FR2 (Transmitter)
UE maximum output power
UE maximum output power for modulation / channel bandwidth
UE maximum output power with additional requirements
Configured transmitted power
Minimum output power
Transmit OFF power
Transmit ON/OFF time mask
Frequency error
Transmit modulation quality
Occupied bandwidth
Out of band emission

FR2 (Receiver)

Reference sensitivity power level

Maximum input level

Adjacent channel selectivity

In-band Blocking

Out-of-band blocking

Spurious response

Receiver Spurious emissions

★ FR2 test methodology (OTA) might require longer test time.

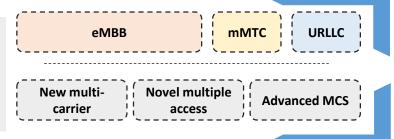


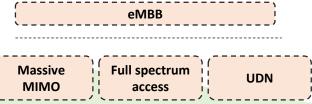




#### **General scenario**

• In order to generate high frequency and wide band signal, the hardware of test instrument requires phase-amplitude synchrony and accuracy of the signal.





#### eMBB (Enhanced Mobile Broadband)

- Increase requirement of channel measurement and change test methods
- Require modeling of high frequency channels and the corresponding high frequency channel emulation
- Channel emulation in high-speed scenarios is still in the research stage and the complexity of protocol, RRM testing brought by seamless connectivity is improved

# mMTC (Massive Machine Type Communications)

- Diversity of test scenarios and terminal
- Security test of IoT devices
- Increase test difficulty due to massive connections
- How to test battery life of chipset

# URLLC (Ultra-reliable and Low Latency Communications)

 Test instrument: performance (latency, reliability), protocol, channel simulator

**mMTC** 

D2D

URLLC

2D 27







### **3GPP RAN4**

- Focus on TS 38.101, TR 38.810
- Responsible for TR 38.810
  - Define OTA testing methodology for UE RF, UE RRM, and UE demodulation requirements for New Radio, the associated measurement uncertainty budget(s), and the related test tolerances.
- Lead the research of Test Methods for NR MIMO
- 3GPP MIMO OTA reference lab

### **3GPP RAN5**

- Focus on TS 38.521, TS 38.523
- Rapporteur of TS 38.521
  - Cover NR transmitter and receiver test cases for SA Range 1, Range 2
- Compile test case of TS 38.521, TS 38.523





## Agenda

- UE Conformance test aspects 5G system with NR and LTE
- Global Certification requirements
  - Three Levels of testing certification
  - Standards requirement of GCF, PTCRB
- Research progress of 5G chipset and UE
- Conformance Test solutions

# **Global Certification requirements**





### Three levels of testing certification

- Mandatory test:
  - CE,FCC,CCC, CTA, etc.
- Industrial forum
  - GCF, PTCRB
- Operator's acceptance
  - T-Mobile US, AT&T, etc.

Accredit test labs	Human Safety Type Approval	Mandatory Government test
Terminal Conformance Test	GCF/PTCRB authorized Test Lab	Industrial forum Industry
Operator's Supplementary Test	Operator's Authorized Test Lab	Operator's acceptance Operator

























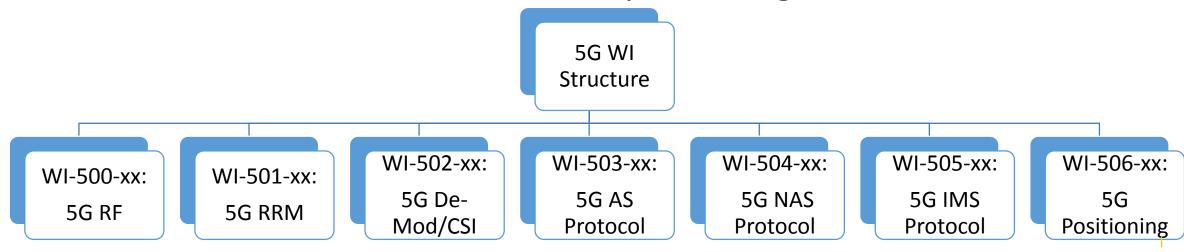






5G WI Structure of GCF (1 of 2)

There are seven umbrella work items for 5G, including RF, RRM, Demod/CSI, AS PCT, NAS PCT, IMS and positioning.







WI-504-xx:

5G NAS

Protocol

5G WI Structure

WI-503-xx:

5G AS

Protocol

WI-502-xx:

5G De-

Mod/CSI



WI-506-xx:

5G

Positioning

WI-505-xx:

5G IMS

Protocol

5G WI Structure of GCF (2 of 2)

Deployment option

NR: SA NR connected to 5GC, Option 2

EN-DC: NSA E-UTRA and NR Dual Connectivity with E-UTRA as master connected to EPC, Option 3

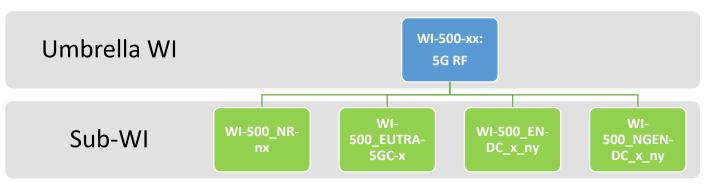
WI-500-xx:

5G RF

WI-501-xx:

5G RRM

- EUTRA-5GC: E-UTRA connected to 5GC, Option 5
- NGEN-DC: NSA NR and EUTRA Dual Connectivity with EUTRA as master connected to 5GC), Option 7



Label	Deliverables	Comments	RAN5 Target Completion Date	RAN Plenary Target Completion Date		
NSA1	NSA Phase 1	Option 3 Phase 1	RAN5#79 (May-18)	RAN#80 (June-18)		
NSA2 NSA Phase 2 Option 3 Phase 2, Option 7		RAN5#81 (Nov-18)	RAN#82 (Dec-18)			
NSA3	NSA Phase 3	Option 4	FFS	FFS		
SA1	ISA Phase 1	Option 2, Option 5 Phase 1	RAN5#81 (Nov-18)	RAN#82 (Dec-18)		
SA2	ISA Phase 2	Option 2, Option 5 Phase 2	FFS	FFS		







### **PTCRB**

- PTCRB PVG #80
  - Protocol validation may be expected end of 2018 or early 2019, depending on completion of specification, delivery of Test Case TTCN and UE availability





# Agenda

- UE Conformance test aspects 5G system with NR and LTE
- Global Certification requirements
- Research progress of 5G chipset and UE
  - HUAWEI, QUALCOMM, INTEL, etc
- Conformance Test solutions





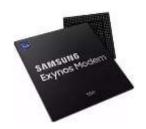
# Research progress of 5G chipset and UE

	Products	Company	Description
1	Snapdragon X50 Modem	QUALCOMM	<ul> <li>Support operation in the 28 GHz millimeter wave band</li> <li>Provide multi-mode 4G/5G capability via dual connectivity</li> <li>Supporting up to 5 gigabits per second download speeds</li> </ul>
2	XMM8060	INTEL	<ul> <li>Multi-mode support for 5G NR (NSA&amp;SA) and various 2G, 3G, and 4G legacy modes</li> <li>Support both sub-6GHZ bands &amp; mmWave spectrum</li> <li>Commercial customer devices shipping in the middle of 2019</li> </ul>
3	Balong 5G01	HUAWEI	<ul> <li>Peak rate 2.3Gbps</li> <li>Sub-6GHZ &amp; mmWave multi-frequency</li> <li>NSA/SA networking</li> </ul>
4	Exynos Modem 5100	SAMSUNG	<ul> <li>Support both sub-6GHZ &amp; mmWave spectrum for 5G system as well as legacy networks from 2G to 4G</li> <li>Maximum downlink speed of up to 2Gbps in 5G's sub-6GHZ settings, and 6Gbps in mmWave settings</li> </ul>





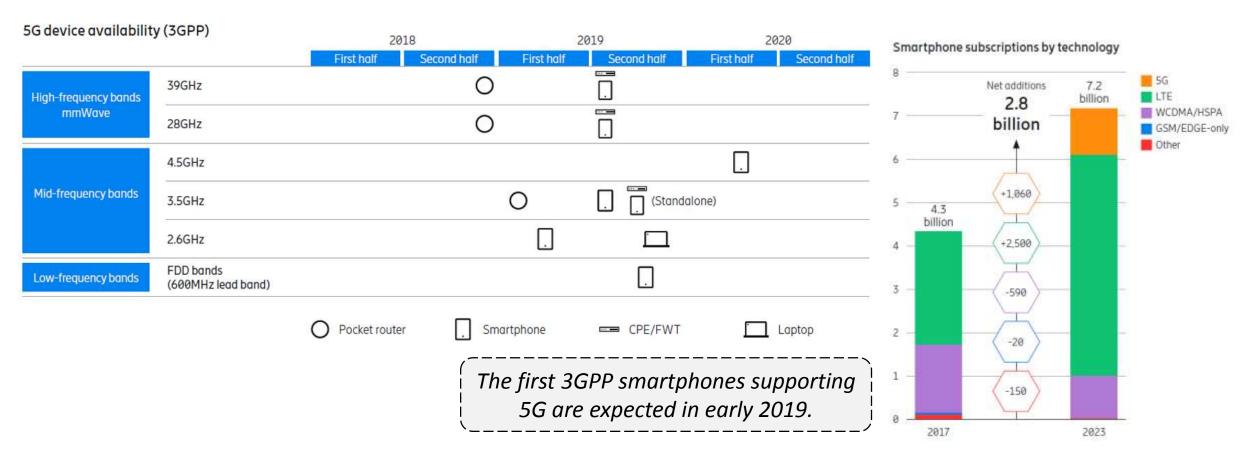












<sup>\*</sup> Refer to Ericsson Mobility Report





# Agenda

- UE Conformance test aspects 5G system with NR and LTE
- Global Certification requirements
- Research progress of 5G chipset and UE
- Conformance Test solutions
  - Test solutions
  - Certification solution roadmap





# **Test solutions**

	Products	Description
1	Vector signal generator	Generating complex, digitally modulated signals of high quality
2	Signal and spectrum analyzer	<ul> <li>High end spectrum/ signal analyzer for R&amp;D and production</li> <li>Wide analysis: up to 1GHZ BW analysis bandwidth</li> <li>Excellent flatness</li> </ul>
3	5G wireless test platform	<ul> <li>Supports 5G signaling &amp; RF testing</li> <li>Supports both Sub-6GHZ and mmWave</li> <li>High performance         <ul> <li>Provide optimum OTA test environment for mmWave/beamforming</li> </ul> </li> <li>Utilize existing LTE asset for NSA operation         <ul> <li>Provide LTE-5G NR interworking test environment by utilizing existing LTE test platforms as LTE anchor for 5G NSA-NR</li> </ul> </li> </ul>











# **Certification solution roadmap**

		20	18			2019				2020			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4+	
PCT							N	ISA opt.	3				
									SA op	t.2			
RF&RRM					TR								
								Sub-60	GHZ				
							Perf/R Sub-60						
								n	TRX nmWave				
										erf/RRM mWave			

 Test cases will be supported step-by-step





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