

APPENDIX C: TOTAL EXPOSURE RATIO

FCC ID: C3K1995	 PCTEST Proud to be part of  element	NEAR-FIELD POWER DENSITY EVALUATION REPORT	 Microsoft	Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 1 of 10

The Total Exposure Ratio (TER) is calculated by combining all SAR measurements and power density measurements after normalizing to their respective limits. The general expression is below.

$$TER = \sum_{a=1}^A \frac{SAR_a}{SAR_a, limit} + \sum_{b=1}^B \frac{psPD_b}{psPD_b, limit} < 1$$

The TER shall be less than unity to ensure compliance with the limits.

$$\sum_{n=1}^N \frac{4G SAR_n}{4G SAR_n, limit} + \sum_{m=1}^M \frac{5G mmW NR psPD_m}{5G mmW NR psPD_m, limit} + \sum_{p=1}^P \frac{WLAN SAR_p}{WLAN SAR_p, limit} < 1$$

Qualcomm® Smart Transmit algorithm for WWAN adds directly the time-averaged RF exposure from 4G and time-averaged RFexposure from 5G mmW NR. Smart Transmit algorithm controls the total RF exposure from both 4G and 5G mmW NR to not exceed FCC limit. Therefore, per FCC guidance, TER does not need to be evaluated directly for the 4G and 5G simultaneous compliance via summation. The following equations are derived later in Appendix C. The validation of the time-averaging algorithm and compliance under the Tx varying transmission scenario for WWAN technologies are reported in Part 2 report. The report SN could be found in Bibliography section.

$$\sum_{n=1}^N \frac{4G SAR_n}{4G SAR_n, limit} + \sum_{p=1}^P \frac{WLAN SAR_p}{WLAN SAR_p, limit} < 1$$

$$\sum_{m=1}^M \frac{5G mmW NR psPD_m}{5G mmW NR psPD_m, limit} + \sum_{p=1}^P \frac{WLAN SAR_p}{WLAN SAR_p, limit} < 1$$

For 5G mmW NR, since there is total design-related uncertainty arising from TxAGC and device-to-device variation, the worst-case RF exposure should be determined by accounting for device uncertainty. For this device, the manufacturer has added an additional permanent back-off (indicated below as WWAN backoff) for every beam in the calculations for input.power.limits used in the EFS file. The back-off levels can be found in the Part 0 Test report. Therefore, 5G mmW NR RF exposure for this DUT is evaluated by reported psPD calculated as:

$$reported_psPD = (PD_design_target + PD_uncertainty) \times 10^{(-WWAN\ backoff\ in\ dB)/10}$$

Note that since not all the beams supported by this EUT are measured, *reported_psPD* cannot be computed based on limited *measured_psPD* data. Alternatively, since *measured_psPD* for all the beams will be $\leq PD_design_target + PD_uncertainty$ uncertainty, *reported_psPD* is computed based on this worst-case psPD as shown above.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT		Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 2 of 10

The compliance analysis for simultaneous transmission scenarios of WWAN (4G LTE & 5G mmW NR) with Smart Transmit and 4G & WLAN can be found in two reports indicated in the table below. This appendix demonstrates compliance for the 5G + WLAN scenarios. The report SNs can be found in Bibliography section.

	Simultaneous Scenario	Evaluation Report
1.	4G LTE WWAN + WLAN	FCC SAR Evaluation Report (Part 1)
2.	4G LTE WWAN + 5G mmW NR WWAN	RF Exposure Part 2 Test Report

RF exposure compliance with 5G mmW NR WWAN+WLAN simultaneous transmission scenarios is demonstrated for various radio configurations below.

Note that the above *reported psPD* applies to the worst-case surfaces of the DUT at 2mm evaluation distance.

Worst-case PD on other surfaces of the DUT are calculated from simulated PD data (see Power Density Simulation Report), by multiplying reported psPD with the highest proportion out of all beams and out of all three channels in each band, where the adjustment for each beam/channel is computed as the proportion of "simulated PD on desired surface" to "simulated PD on worst-surface". For example, to determine worst-case PD on front surface (needed for Head RF Exposure evaluation during simultaneous transmission), highest proportion of (simulated PD on front surface)/(simulated PD on worst surface) was determined out of all supported beams and out of all three channels by the DUT in each band.

In some cases, the simulation vs measurement for some surfaces can exceed the device's total uncertainty. In those cases, if the measured psPD > simulated adjusted psPD (assuming a linear congruency of the psPD across surfaces), then measured psPD should be used towards the simultaneous TX analysis. Table C-1 lists the relevant worst-case reported psPD values based on the additional surfaces and evaluation distances needed to perform the TER analysis. The highest of the adjusted Reported_psPD and Measured Total psPD was chosen for TER analysis and the chosen values are indicated by bolded psPD values.

FCC ID: C3K1995	 PCTEST <small>Proud to be part of element</small>	NEAR-FIELD POWER DENSITY EVALUATION REPORT	 Microsoft	Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 3 of 10

Table C-1
5G mmW NR psPD - Closed

<u>NR Band</u>	<u>Antenna</u>	<u>Surface</u>	<u>Evaluation Distance (mm)</u>	<u>Adjustment Factor due to Simulation</u>	<u>Adjusted Reported psPD (mW/cm²)</u>	<u>Measured Total psPD (mW/cm²)</u>	<u>Final Reported psPD (mW/cm²)</u>
n261	0	Back	2	1.000	0.501	0.187	0.501
n261	0	Front	2	0.026	0.013	-	0.013
n261	0	Top	2	0.026	0.013	-	0.013
n261	0	Bottom	2	0.026	0.013	-	0.013
n261	0	Right	2	0.382	0.191	0.010	0.191
n261	0	Left	2	0.026	0.013	-	0.013
n260	0	Back	2	1.000	0.501	0.137	0.501
n260	0	Front	2	0.036	0.018	-	0.018
n260	0	Top	2	0.036	0.018	-	0.018
n260	0	Bottom	2	0.036	0.018	-	0.018
n260	0	Right	2	0.236	0.118	0.010	0.118
n260	0	Left	2	0.036	0.018	-	0.018
n261	1	Back	2	1.000	0.501	0.030	0.501
n261	1	Front	2	1.000	0.501	0.091	0.501
n261	1	Top	2	1.000	0.501	0.068	0.501
n261	1	Bottom	2	0.462	0.232	-	0.232
n261	1	Right	2	0.462	0.232	-	0.232
n261	1	Left	2	0.462	0.232	0.010	0.232
n260	1	Back	2	0.909	0.456	0.046	0.456
n260	1	Front	2	1.000	0.501	0.108	0.501
n260	1	Top	2	1.000	0.501	0.168	0.501
n260	1	Bottom	2	0.346	0.173	-	0.173
n260	1	Right	2	0.346	0.173	-	0.173
n260	1	Left	2	0.346	0.173	0.040	0.173

Note: Adjusted factor is (simulated PD on desired exposure plane)/(PD on worst-surface at 2mm evaluation distance) out of all beams and out of all channels. See Power Density Simulation Report.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT	 Microsoft	Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 4 of 10

Table C-2
5G mmW NR psPD – Flat/Read

<u>NR Band</u>	<u>Antenna</u>	<u>Surface</u>	<u>Evaluation Distance (mm)</u>	<u>Adjustment Factor due to Simulation</u>	<u>Adjusted Reported psPD (mW/cm²)</u>	<u>Measured Total psPD (mW/cm²)</u>	<u>Final Reported psPD (mW/cm²)</u>
n261	0	Back	2	1.000	0.501	0.210	0.501
n261	0	Front	2	0.098	0.049	0.010	0.049
n261	0	Top	2	0.098	0.049	-	0.049
n261	0	Bottom	2	0.098	0.049	-	0.049
n261	0	Right	2	0.333	0.167	0.010	0.167
n261	0	Left	2	0.098	0.049	-	0.049
n260	0	Back	2	1.000	0.501	0.144	0.501
n260	0	Front	2	0.143	0.072	0.010	0.072
n260	0	Top	2	0.143	0.072	-	0.072
n260	0	Bottom	2	0.143	0.072	-	0.072
n260	0	Right	2	0.268	0.134	0.010	0.134
n260	0	Left	2	0.143	0.072	-	0.072
n261	1	Back	2	0.422	0.211	0.020	0.211
n261	1	Front	2	1.000	0.501	0.236	0.501
n261	1	Top	2	0.438	0.220	0.030	0.220
n261	1	Bottom	2	0.422	0.212	-	0.212
n261	1	Right	2	0.422	0.212	-	0.212
n261	1	Left	2	0.422	0.212	-	0.212
n260	1	Back	2	0.344	0.172	0.030	0.172
n260	1	Front	2	1.000	0.501	0.219	0.501
n260	1	Top	2	0.439	0.220	0.070	0.220
n260	1	Bottom	2	0.344	0.172	-	0.172
n260	1	Right	2	0.344	0.172	-	0.172
n260	1	Left	2	0.344	0.172	-	0.172

Note: Adjusted factor is (simulated PD on desired exposure plane)/(PD on worst-surface at 2mm evaluation distance) out of all beams and out of all channels. See Power Density Simulation Report.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT	 Microsoft	Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 5 of 10

Table C-3
5G mmW NR psPD – Flip

<u>NR Band</u>	<u>Antenna</u>	<u>Surface</u>	<u>Evaluation Distance (mm)</u>	<u>Adjustment Factor due to Simulation</u>	<u>Adjusted Reported psPD (mW/cm²)</u>	<u>Measured Total psPD (mW/cm²)</u>	<u>Final Reported psPD (mW/cm²)</u>
n261	0	Back	2	1.000	0.501	0.009	0.501
n261	0	Front	2	1.000	0.501	0.014	0.501
n261	0	Top	2	1.000	0.501	-	0.501
n261	0	Bottom	2	1.000	0.501	-	0.501
n261	0	Right	2	1.000	0.501	0.010	0.501
n261	0	Left	2	1.000	0.501	-	0.501
n260	0	Back	2	0.600	0.301	-	0.301
n260	0	Front	2	1.000	0.501	0.010	0.501
n260	0	Top	2	0.600	0.301	-	0.301
n260	0	Bottom	2	0.600	0.301	-	0.301
n260	0	Right	2	1.000	0.501	0.014	0.501
n260	0	Left	2	0.600	0.301	-	0.301
n261	1	Back	2	0.013	0.007	-	0.007
n261	1	Front	2	1.000	0.501	0.271	0.501
n261	1	Top	2	0.381	0.191	0.050	0.191
n261	1	Bottom	2	0.013	0.007	-	0.007
n261	1	Right	2	0.013	0.007	-	0.007
n261	1	Left	2	0.347	0.174	0.010	0.174
n260	1	Back	2	0.016	0.008	-	0.008
n260	1	Front	2	1.000	0.501	0.208	0.501
n260	1	Top	2	0.441	0.221	0.070	0.221
n260	1	Bottom	2	0.016	0.008	-	0.008
n260	1	Right	2	0.016	0.008	-	0.008
n260	1	Left	2	0.242	0.121	0.030	0.121

Note: Adjusted factor is (simulated PD on desired exposure plane)/(PD on worst-surface at 2mm evaluation distance) out of all beams and out of all channels. See Power Density Simulation Report.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT	 Microsoft	Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 6 of 10

Table C-4
5G mmW NR Body-Worn Total Exposure Ratio - Closed

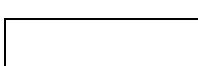
Table C-5

Table C-6
5G mmW NR UMPC Body Total Exposure Ratio - Flat

Table C-7
5G mmW NR Head Total Exposure Ratio - Flip

Table C-8
5G mmW NR Body-Worn Total Exposure Ratio - Flip

Table C-9
5G mmW NB Hotspot Total Exposure Ratio – Flip



NEAR-FIELD POWER DENSITY EVALUATION REPORT



Approved by:

Technical Manual

Test Dates:

DUT Type:

APPENDIX C:
Page 7 of 10

Table C-10
5G mmW NR Phablet Total Exposure Ratio – Flip

psPD	5 GHz WLAN Ant 1	5 GHz WLAN Ant 2	psPD + 5 GHz WLAN Ant 1	psPD + 5 GHz WLAN Ant 2	psPD + 5 GHz WLAN Ant 1 + 5 GHz WLAN Ant 2
	Reported SAR	Reported SAR			
	11.5 dBm	11.5 dBm			
	mW/cm ²	W/kg			
	1	2	3	1 + 2	1 + 3
Applicable Limit	1.0	4.0	4.0	1.0	1.0
Back Side	Reported Value	0.501	0.227	0.110	
	Ratio to Limit	0.501	0.057	0.028	0.558
Front Side	Reported Value	0.501	0.491	0.338	
	Ratio to Limit	0.501	0.123	0.085	0.624
Top Edge	Reported Value	0.501	0.000	0.338	
	Ratio to Limit	0.501	0.000	0.085	0.501
Bottom Edge	Reported Value	0.501	0.852	0.000	
	Ratio to Limit	0.501	0.213	0.000	0.586
Right Edge	Reported Value	0.501	0.000	0.000	
	Ratio to Limit	0.501	0.000	0.000	0.501
Left Edge	Reported Value	0.501	0.000	0.338	
	Ratio to Limit	0.501	0.000	0.085	0.501

Table C-11
5G mmW NR UMPC Body Total Exposure Ratio – Read

Notes:

1. Worst-case power density results for each test configuration among all antenna arrays and among all supported bands were considered for TER analysis.
2. If test positions were not required to be evaluated for WLAN SAR per FCC KDB publication 248227, the worst-case WLAN SAR result for the applicable exposure conditions was used for simultaneous transmission analysis. Any such values are indicated in the above tables in blue.
3. If Part 1 SAR report does not include standalone WLAN MIMO results, then per KDB Publication 248227 D01v02r02, SAR for MIMO was evaluated by following the simultaneous SAR provisions from KDB Publication 447498 D01v06 by evaluating the sum of the 1g SAR values of each antenna transmitting independently. Any such values are indicated in the above tables in green.
4. When additional sides were tested at a distance greater than 2mm for hotspot and body-worn configurations, those power density results were used for TER. Otherwise, power density results at 2mm were considered as a more conservative evaluation.
5. Per FCC guidance, the bands/modes that are not required to be evaluated for Phablet SAR are not considered for TER analysis.
6. Per FCC guidance, for power density measurements, a test separation distance of 2 mm was used for phablet configuration due to probe restraints.
7. Worst-case front side reported psPD for Flip was considered for Head TER analysis.
8. The worst-case between Adjusted Reported_psPD and Measured Total psPD was chosen for TER analysis. The bolded psPD values in Table C-1 indicate the worst-case Reported psPD used in TER analysis.
9. In WLAN MIMO operations, each antenna transmits at target powers to achieve the MIMO target powers as indicated above.
10. Per manufacturer document, the lowest ratio of the simulated edges was selected for the non-simulated edges because their psPD will not be higher than the simulated edges. Any such values are indicated in the above tables in yellow.
11. The Read posture is excluded from PD evaluation since it will have the same PD as Flat posture. Since PD is evaluated 2mm from the surface of the device as if the module under evaluation is being entirely covered by part of the user, whether the device angle is 180 degrees, or 150 degrees will have no impact on the PD. The PD evaluations performed for the Flat posture are applicable to the Read posture as well.
12. Per FCC guidance, the positions that are not required to be evaluated for flat body and Read UMPC body posture SAR are not considered for TER analysis.

The above numerical summed PD and SAR for all the worst-case simultaneous transmission conditions were below the Total Exposure Ratio. Therefore, the above analysis is sufficient to determine no further test cases are required and that simultaneous transmission is compliant to the FCC RF Exposure Limit.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT		Approved by: Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset			APPENDIX C: Page 9 of 10

Mathematical Derivation of TER Compliance

$$\text{Total Normalized RFx} = \text{Normalized RFx}_{\text{Time Averaged WWAN}} + \text{Normalized RFx}_{\text{WLAN}} \leq 1.0 \quad (1)$$

Since WWAN Smart Transmit algorithm adds directly the time-averaged RF exposure from 4G and time-averaged RF exposure from 5G mmW NR, per chipset manufacturer's guidance, Normalized RF exposure from 4G and from 5G mmW NR could be assumed as

$$\text{Normalized RFx}_{\text{Time Averaged WWAN}} = \frac{4G \text{ SAR}}{4G \text{ SAR Limit}} + \frac{5G \text{ mmW NR psPD}}{5G \text{ mmW NR psPD Limit}} \leq 1.0 \quad (2)$$

Smart Transmit algorithm assumes that 4G and 5G mmW NR hotspots are co-located and therefore:

$$\text{Time Averaged WWAN} = [x(t) \times A] + [(1-x(t)) \times B] \leq 1.0 \text{ Normalized Limit} \quad (3)$$

$A = \text{Max normalized time-averaged SAR exposure from 4G}$

$B = \text{Max normalized time-averaged PD exposure from 5G mmW NR}$

$x(t) = \text{Ranges between } [0,1]$

$x(t) \times A = \text{Percentage of normalized time-averaged RF exposure from 4G}$

$(1-x(t)) \times B = \text{Remaining percentage of RF exposure contribution from 5G mmW NR}$

Smart Transmit controls "x" in real time such that the sum of these exposures never exceeds 1.0 Normalized Limit. If the equations below (4a, 4b) are proven, then, mathematically equation (5) would be proven.

$$A + \text{norm. SAR from WLAN} \leq 1.0 \text{ normalized limit} \quad (4a)$$

$$B + \text{norm. SAR from WLAN} \leq 1.0 \text{ normalized limit} \quad (4b)$$

$$[x(t) \times A] + [(1-x(t)) \times B] + \text{norm. SAR from WLAN} \leq 1.0 \text{ normalized limit} \quad (5)$$

Without 5G mmW NR, Smart Transmit limits the maximum RF exposure contributed from 4G to 100% normalized exposure. For this device, the manufacturer has added an additional permanent back-off (indicated below as WWAN backoff) for every beam in the calculations for input.power.limits used in the EFS file. Therefore,

$$\text{Smart Tx WWAN: } A = \max(\text{normalized SAR exposure from 4G}) \leq 1.0 \text{ normalized limit} \quad (6a)$$

$$\text{Smart Tx WWAN: } B = \max(\text{normalized PD exposure from 5G mmW NR}) \times 10^{(-\text{WWAN backoff in dB})/10} \leq 1.0 \text{ normalized limit} \quad (6b)$$

To demonstrate simultaneous transmission compliance in equation (1), below equations (7a & 7b) obtained by combining equations (4a & 4b) and (6a & 6b), should be proven for simultaneous transmission compliance:

$$\text{Total Normalized RFx} = \text{Normalized SAR}_{4G \text{ WWAN}} + \text{Normalized SAR}_{\text{WLAN}} < 1.0 \quad (7a)$$

$$\text{Total Normalized RFx} = 10^{(-\text{WWAN backoff in dB})/10} \times \text{Normalized psPD}_{5G \text{ mmW NR WWAN}} + \text{Normalized SAR}_{\text{WLAN}} < 1.0 \quad (7b)$$

which are re-written as:

$$\text{Total Normalized RFx} = \frac{4G \text{ SAR}}{4G \text{ SAR Limit}} + \frac{\text{WLAN SAR}}{\text{WLAN SAR Limit}} < 1 \quad (8a)$$

$$\text{Total Normalized RFx} = 10^{(-\text{WWAN backoff in dB})/10} \times \frac{5G \text{ mmW NR psPD}}{5G \text{ mmW NR psPD Limit}} + \frac{\text{WLAN SAR}}{\text{WLAN SAR Limit}} < 1 \quad (8b)$$

Analysis for equation (8a) is performed in Section 12 of FCC SAR Evaluation Report (Part 1). Analysis for equation (8b) is performed in this appendix.

FCC ID: C3K1995	 PCTEST Proud to be part of 	NEAR-FIELD POWER DENSITY EVALUATION REPORT	Approved by: Microsoft Technical Manager
Test Dates: 07/12/2021 – 09/03/2021	DUT Type: Portable Handset		APPENDIX C: Page 10 of 10