**3GPP TSG RAN WG1 Meeting #101-e                     R1-200xxxx**

**e-Meeting, May 25th – June 5th, 2020**

**Agenda Item: 7.2.2.2.3**

**Source: Moderator (Huawei)**

**Title: Feature lead summary#1 on 101-e-NR-unlic-NRU-HARQ-03 (NNK1 value)**

**Document for: Discussion and Decision**

# Introduction

This document provides updated proposals on issues C1, C2 and C3 that are prioritized for RAN1#101e among the issues identified for the **corrections related to NNK1 value** [1].

[101-e-NR-unlic-NRU-HARQ-03] Email discussion/approval on issues C1, C2 and C3 from R1-2004692 until 5/28; if necessary, endorse associated TPs by 6/3 – David (Huawei)

* Issue C1 (leftover):
  + FFS: DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate Scell dormancy
  + FFS: DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate SPS release (note: some dependency on B6)
* Issue C2: DCI format 1\_2 usage with PUCCH priority in case of NNK1 value signaled in PDSCH-to-HARQ\_feedback timing indicator
* Issue C3: Out-of-Order issue for NNK1

Each sub-section per issue includes an initial FL proposal based on the summary of the submitted Tdocs, and provides a table for collecting companies’ views on the FL’s proposal.

# Issue C1

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| C1 | - FFS: DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate Scell dormancy  - FFS: DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate SPS release |

Summary of companies’ views:

DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate Scell dormancy

* Support: ZTE, Sanechips, Huawei, HiSilicon, LGE
* Do not support: Nokia, Nokia Shanghai Bell

DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate SPS release

* Support: ZTE, Sanechips, Huawei, HiSilicon, LGE, Qualcomm
* Do not support: Nokia, Nokia Shanghai Bell

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| **Company** | **Comments on issue C1** |
| Ericsson | Our preference is that DCI 1\_1 can indicate NNK1 regardless if it schedules PDSCH, or indicate SPS release, or Scell dormancy. There is no need to include artificial exceptions in the spec. Instead, it is cleaner if we have a common general procedure. In fact, excluding those cases, adds some scheduling restrictions on the gNB. |
| QC | Support both proposals.  Regarding SPS release and depending on the outcome B-6 in Email thread 2, there could be confusion if the DCI indicates NN-K1 (since the value of the one bit that is added to Type-3 depends on whether the SPS release DCI points to the same slot for PUCCH or not).  For both SPS release and Scell dormancy, if NN-K1 is allowed, there will be additional specification impact. This is because NN-K1 is currently defined only for a DCI that schedules PDSCH:  “If a UE receives a first PDSCH scheduled by a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*, …”  In addition, the use case for SPS release DCI or Scell dormancy DCI indicating NN-K1 is not clear. |
| Nokia, NSB | Why these cases should be precluded and gNB scheduling flexibility limited? Any technical issues?  The one above issue pointed out by QC would not happen when any of 2C options in B6 is adopted, because DL SPS release is assigned to HARQ process ID.  Motivation for two cases is clear, allow DL SPS release and Dormancy indication at the end of COT. |
| ZTE | We support both proposals. We do not see the strong motivation for SPS release DCI or Scell dormancy DCI indicating NN-K1. And the spec impact of introducing such functionality is not trivial. |
| MediaTek | No big issue if support NNK1 and SPS release/dormancy indication simultaneously |
| Samsung | Agree with E/// and Nokia that these cases should not be precluded unless there is any technical issue. |

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| **Company** | **Summary of proposals** | |
| ZTE  (R1-2003452) | DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate SPS release.  DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate Scell dormancy. | |
| Huawei  (R1-2003514) | DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate Scell dormancy  DCI format 1\_1 should not simultaneously indicate a NNK1 value and indicate SPS release  **TP#2 for TS 38.213 Clause 10.2(on top of R1-2003180)**  === Unchanged part omitted ===  A UE validates, for scheduling activation or scheduling release, a DL SPS assignment PDCCH or a configured UL grant Type 2 PDCCH if  - the CRC of a corresponding DCI format is scrambled with a CS-RNTI provided by *cs-RNTI*, and  - the new data indicator field in the DCI format for the enabled transport block is set to '0', and  - the DFI flag field, if present, in the DCI format is set to '0', and  - if the PDSCH-to-HARQ\_feedback timing indicator field in the DCI format is present, the PDSCH-to-HARQ\_feedback timing indicator field does not provide an inapplicable value from *dl-DataToUL-ACK*.  === Unchanged part omitted ===  **TP#3 for TS 38.213 Clause 10.3(on top of R1-2003180)**  === Unchanged part omitted ===  If a UE is provided search space sets to monitor PDCCH for detection of DCI format 1\_1, and if  - the CRC of DCI format 1\_1 is scrambled by a C-RNTI or a MCS-C-RNTI, and if  - *resourceAllocation* = *resourceAllocationType0* and all bits of the frequency domain resource assignment field in DCI format 1\_1 are equal to 0, or  - *resourceAllocation* = *resourceAllocationType1* and all bits of the frequency domain resource assignment field in DCI format 1\_1 are equal to 1  - *resourceAllocation = dynamicSwitch* and all bits of the frequency domain resource assignment field in DCI format 1\_1 are equal to 0 or 1  - if the PDSCH-to-HARQ\_feedback timing indicator field in the DCI format is present, the PDSCH-to-HARQ\_feedback timing indicator field does not provide an inapplicable value from *dl-DataToUL-ACK*.  the UE considers the DCI format 1\_1 as indicating SCell dormancy, not scheduling a PDSCH reception or indicating a SPS PDSCH release, and for transport block 1 interprets the sequence of fields of  === Unchanged part omitted === | |
| LG  (R1-2004015) | Proposal #7: DCI format 1\_1 indicating Scell dormancy operation or DL SPS release is not allowed to indicate NNK1 value (simultaneously) | |
| Nokia  (R1-2004257) | For both DL SPS release and Scell dormancy indication, precluding NNK1 value in DCI would imply a scheduling restriction, since DL SPS release nor Scell dormancy indication could be transmitted in the end of gNB COT. On the other hand, there is no specification impact from supporting these cases.  **Proposal 10: *Inapplicable value of K1 in DL SPS release and Scell dormancy DCI is not precluded*** | |
| Qualcomm  (R1-2004445) | | Proposal 1. If UE is configured with a SPS configuration, one bit is appended to the end of Type-3 HARQ-Ack codebook. If UE detects a DCI format releasing an SPS configuration and indicates the slot in which the Type-3 HARQ-Ack is reported, the bit is set to Ack; otherwise, the bit is set to Nack.   * UE does not expect NN-K1 in a SPS release DCI.   ===TP for 38.213 Section 10.2==  A UE validates, for scheduling activation or scheduling release, a DL SPS assignment PDCCH or a configured UL grant Type 2 PDCCH if  - the CRC of a corresponding DCI format is scrambled with a CS-RNTI provided by *cs-RNTI*, and  - the new data indicator field in the DCI format for the enabled transport block is set to '0', and  - the DFI flag field, if present, in the DCI format is set to '0', and  - the PDSCH-to-HARQ\_feedback timing indicator field,if present, does not provide an inapplicable value from *dl-DataToUL-ACK*.  If a UE is provided a single configuration for UL grant Type 2 PUSCH or for SPS PDSCH, validation of the DCI format is achieved if all fields for the DCI format are set according to Table 10.2-1 or Table 10.2-2.  --Unchanged part omitted------------------------ | |

# Issue C2

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| C2 | DCI format 1\_2 usage with PUCCH priority in case of NNK1 value signaled in PDSCH-to-HARQ\_feedback timing indicator |

Companies are invited to provide their views using the table below, considering the following cases. Type 3 HARQ-ACK codebook is not mentioned since there is no field in DCI Format 1\_2 for triggering a request for Type 2 HARQ-ACK codebook.

* When two HARQ-ACK codebooks are configured for the same serving cell, if the UE detects a DCI format 1\_2 scheduling a PDSCH and indicating Priority indicator value, please provide your views on whether providing an inapplicable value for PDSCH-to-HARQ\_feedback timing indicator field is supported and if so in which conditions using the table below:

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|  | NNK1 value is not expected to be signaled in DCI format 1\_2 | NNK1 value can be signaled in DCI format 1\_2 |
| Case1: UE is configured with Type1 HARQ-ACK codebook | QC (DCI format 1\_2 cannot indicate NN-K1 as the configuration *dl-DataToUL-ACK-ForDCIFormat1\_2* does not include “-1”) , ZTE | Ericsson (feedback for PDSCH scheduled with NNK1, can be included in the Type3 codebook if triggered)  Nokia, NSB (If configured with TYPE-3 CB) |
| Case2: UE is configured with Type2 HARQ-ACK codebook | QC (same comment) , ZTE | Ericsson (feedback is multiplexed in PUCCH occasion indicated by the immediate next DCI scheduling another PDSCH and indicating the same Priority indicator value and applicable value for PDSCH-to-HARQ\_feedback timing indicator.)  Nokia, NSB  MediaTek (according to current specification, UE only multiplexes UCIs with the same priority index in a PUCCH or PUSCH. Spec change is not needed) |
| Case3: UE is configured with enhanced Type2 HARQ-ACK codebook | QC (same comment; please also see more comments in the table below).  Nokia, NSB (e-TYPE2 CB is in general not supported with DCI format 1\_2), ZTE | Ericsson (the enhanced dynamic codebook related parameters are not necessarily indicated in DCI 1\_2) |

Companies are invited to provide more detailed (lengthy) comments using the table below:

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| **Company** | **Summary of proposals and further companies’ views** |
| MediaTek  (R1-2003658) | Proposal 1: When enhanced dynamic HARQ-ACK codebook is configured, reuse the mechanism specified for handling DCI format 1\_0 to handle DCI format 1\_2  On handling of DCI format with inapplicable K1 value, UE may multiplex the HARQ-ACK information corresponding to a first DCI format indicating an inapplicable K1 value in a PUCCH that is indicated by an applicable value in a second DCI format. According to current specification, UE only multiplexes UCIs with the same priority index in a PUCCH or PUSCH, and multiplexing procedure is behaved independently for each HARQ-ACK codebook that is associated with a PUCCH with one of the priority indexes. Thus, it is pretty clear that UE multiplexes the HARQ-ACK information corresponding to the first DCI format only when the second DCI format indicates a PUCCH with the same priority index.  **Extracted from TS38.213 clause 9 UE procedure for reporting control information**  A PUSCH or a PUCCH, including repetitions if any, can be of priority index 0 or of priority index 1. If a priority index is not provided for a PUSCH or a PUCCH, the priority index is 0. If in an active DL BWP a UE monitors PDCCH either for detection of DCI format 0\_1 and DCI format 1\_1 or for detection of DCI format 0\_2 and DCI format 1\_2, a priority index can be provided by a priority indicator field. If a UE indicates a capability to monitor, in an active DL BWP, PDCCH for detection of DCI format 0\_1 and DCI format 1\_1 and for detection of DCI format 0\_2 and DCI format 1\_2, a DCI format 0\_1 or a DCI format 0\_2 can schedule a PUSCH transmission of any priority and a DCI format 1\_1 or a DCI format 1\_2 can schedule a PDSCH reception and trigger a PUCCH transmission with corresponding HARQ-ACK information of any priority. If, after resolving overlapping for PUCCH and/or PUSCH transmissions of a same priority index, a UE determines to transmit  - a first PUCCH of larger priority index, a PUSCH or a second PUCCH of smaller priority index, and a transmission of the first PUCCH would overlap in time with a transmission of the PUSCH or the second PUCCH, the UE does not transmit the PUSCH or the second PUCCH  - a PUSCH of larger priority index, a PUCCH of smaller priority index, and a transmission of the PUSCH would overlap in time with a transmission of the PUCCH, the UE does not transmit the PUCCH  - a first PUSCH of larger priority index on a serving cell, a second PUSCH of smaller priority index on the serving cell, and a transmission of the first PUSCH would overlap in time with a transmission of the second PUSCH, the UE does not transmit the second PUSCH, where at least one of the two PUSCH is not scheduled by a DCI format  In the remaining of this Clause, a UE multiplexes UCIs with same priority index in a PUCCH or a PUSCH. A PUCCH or a PUSCH is assumed to have a same priority index as a priority index of UCIs a UE multiplexes in the PUCCH or the PUSCH.  Observation 2: If a UE receives a first DCI providing an inapplicable K1 value, and the UE detects a second DCI indicates a slot of PUCCH or PUSCH transmission by an applicable K1 value, it is clear in current specification that UE only multiplexes the corresponding HARQ-ACK information in the PUCCH or PUSCH transmission of a same priority index indicated by the first DCI, if applicable. |
| Ericsson  (R1-2003845) | Proposal 6: When two HARQ-ACK codebooks are configured for the same serving cell, if the UE detects a DCI scheduling a PDSCH and indicating Priority indicator value and inapplicable value for PDSCH-to-HARQ\_feedback timing indicator field, the HARQ-ACK information corresponding to the PDSCH is multiplexed in PUCCH occasion indicated by the immediate next DCI scheduling another PDSCH and indicating the same Priority indicator value and applicable value for PDSCH-to-HARQ\_feedback timing indicator.  Proposal 7: The presence of (PDSCH group index, New feedback indicator, Number of requested PDSCH group(s), total DAI for non-scheduled group) in DCI 1\_2 and (total DAI for non-scheduled group) in DCI 0\_2 can be disabled even when enhanced dynamic codebook is configured.  Proposal 8: The presence of One-shot HARQ-ACK request field in DCI 1\_2 can be disabled even if higher layer parameter pdsch-HARQ-ACK-OneShotFeedback-r16 is configured. |
| Nokia, NSB (from prioritization discussion) | NN-K1 should be supported with 1\_2 (spec clarification is essential) |
| ZTE (from prioritization discussion) | At least the enhanced type2/type3 CB for DCI format 1\_2 should not be discussed in Rel-16 |
| QC | The proposal is not clear. Priority indicator field is also present in DCI format 1\_1 (and not only in DCI format 1\_2). There are two aspects related to this proposal:   1. Whether DCI format 1\_2 can indicate NN-K1 (i.e. whether to add “-1” that represents NN-K1 to *dl-DataToUL-ACK-ForDCIFormat1\_2*) 2. Whether the feature of NN-K1 in Rel. 16 NRU should be enhanced / optimized for combining with the feature of two HARQ-ACK codebooks in Rel. 16 eURLLC.   For both issues (as well as other issues such as enhanced Type 2 / Type 3 feature combined with eURLLC HARQ-Ack features), it does not belong to Rel. 16. There is already a WI in Rel. 17 to study such cases in IIOT /URLLC WI (RP-193233):   1. *Identify potential enhancements to ensure Release 16 feature compatibility with unlicensed band URLLC/IIoT operation in controlled environment [RAN1, RAN2]*   Introducing new functionalities should be avoided in Rel. 16 at this stage. |
| ZTE | We share the similar view as QC. This can be further discussed in Rel-17 URLLC WI, as at this stage it is not clear if the related design for DCI format 1\_1 can be directly re-used for DCI format 1\_2. |
| Samsung | Enhancements to ensure applicability of R16 IIOT/URLLC featured in NR-U is currently under the discussion on the scope of Rel17 WI enhanced IIOT/URLLC. No need to discuss it in Rel-16 at this stage. |

# Issue C3

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| C3 | Out-of-Order issue for NNK1 |

Companies are invited to provide detailed comments on the issue and on the TP proposed in R1-2004445 using the table below.

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| **Company** | **Summary of proposals and further companies’ views** |
| Qualcomm  (R1-2004445) | Non-numeric K1 may result in out-of-order operation. This can happen when a first DCI that indicates non-numeric K1 is detected but a second DCI that indicates a numeric K1 (and was supposed to indicate the timing for HARQ-Ack for the PDSCH scheduled by the first DCI) is missed.    **Proposal 2. HARQ-Ack for a PDSCH that is scheduled with a non-numeric K1 is multiplexed in the next PUCCH that carries HARQ-Ack and satisfies the UE PDSCH processing timeline for the PDSCH if UE has not detected the second DCI with numeric-K1 that points to an slot earlier than the PUCCH slot**.  ==TP for 38.213 Section 9.1.3===  --Unchanged part omitted------------------------  If a UE receives a first PDSCH scheduled by a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*,  - if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where  - if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one  - if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3  - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.  - if there is a PUCCH or PUSCH transmission in a slot that carries HARQ-Ack and satisfies timing conditions in Clause 9.2.5, and the second DCI has not been detected that points to an earlier slot for HARQ-Ack transmission, the UE multiplexes the HARQ-ACK information for the first PDSCH in the PUCCH or PUSCH transmission in the slot.  --Unchanged part omitted------------------------ |
| Ericsson | Our understanding of the rel-15 behaviour is that the UE is not expected to send out of order HARQ. In the example from Qualcomm, if the UE misses PDCCH for PDSCH2, the UE is not expected to include the feedback in PUCCH2 when there is another PDSCH (SPS PDSCH) that points to an earlier PUCCH (PUCCH1).  The proposed changes will result in adding the feedback to PUCCH 1. But that does not solve any problem, since the size of the codebook to be included in PUCCH 1 is anyway erroneous due to the missed last PDCCH (PDCCH for PDSCH 2).  We do not support the proposal. |
| QC | Response to Ericsson: The proposal prevents from error propagation. Even if the payload size in PUCCH1 cannot be corrected in the example (since the last DCI is missed), the PUCCH2 will have the correct codebook size in the proposal. Without the proposal, not only PUCCH1 has a wrong codebook size, but also PUCCH2 will not be transmitted (as this is an error case in Rel. 15 and UE behavior is not defined).  In addition, the current condition “otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission” in current spec is never satisfied as there is always a second DCI (UE has to wait until infinity to get to the “otherwise” part). |
| Nokia, NSB | We suggest the following wording  …..  - if UE reports HARQ-ACK for DL SPS PDSCH scheduled after first DCI in a PUCCH or PUSCH for which timing conditions in Clause 9.2.5 are satisfied and does not detect the second DCI, the UE multiplexes the HARQ-ACK information for the first PDSCH in the PUCCH or PUSCH transmission in the slot.  - otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission. |
| ZTE | We think DL SPS PDSCH scheduling is the special case potentially causes the out of order issue and for the normal PDSCH scheduling the existing spec has no problem. In this sense, Nokia’s wording seems better. |
| MediaTek | Support the proposal from QC and the revised TP from Nokia, with further modifications:  If a UE receives a first PDSCH scheduled by a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*,  - …..  - if the UE reports HARQ-ACK for a SPS PDSCH reception in a PUCCH or PUSCH transmission in a slot after the first DCI format for which timing conditions in Clause 9.2.5 are satisfied, and the UE does not detect a second DCI format before the PUCCH or PUSCH transmission, the UE multiplexes the corresponding HARQ-ACK information in the PUCCH or PUSCH transmission in the slot.  - otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission. |
| Samsung | We think UE is not expected to send HARQ-ACK of an out of order PDSCH. In the example provided by QC, assuming PDSCH 1, PDSCH 2(missed PDSCH) and PDSCH 3 are in the same PDSCH group and C-DAI=1,2,3 respectively, UE should transmit NACK in the corresponding HARQ-ACK bit location for C-DAI =1/2, i.e. UE does not transmit valid HARQ-ACK of PDSCH1.  The suggested wording by Nokia would lead to error case in some scenarios. For example, if the missed PDSCH is K1=2, i.e. gNB expects UE to report HARQ-ACK of PDSCH 1 and missed PDSCH in PUCCH 0 between SPS PDSCH and PUCCH1. Then, according to the proposal by Nokia, UE reports HARQ-ACK of PDSCH1 in PUCCH1.  So, we do not support the proposal. |

# Conclusions

TBD

# References

1. R1-2004692 FL summary\_1 for 72223 NRU HARQ moderator (Huawei), RAN1#101-e
2. R1-2003372 Remaining issues on HARQ operation for NR-U vivo
3. R1-2003452 Remaining issues on the HARQ for NR-U ZTE, Sanechips
4. R1-2003514 Maintenance on HARQ-ACK enhancement Huawei, HiSilicon
5. R1-2003658 Remaining issues on HARQ operation for NR-U MediaTek Inc.
6. R1-2003730 Enhancements to HARQ for NR-unlicensed Intel Corporation
7. R1-2003823 Text proposals for HARQ enhancement for NR-U Lenovo, Motorola Mobility
8. R1-2003845 HARQ enhancement Ericsson
9. R1-2003862 HARQ enhancement for NR-U Samsung
10. R1-2004015 Remaining issues of HARQ procedure for NR-U LG Electronics
11. R1-2004087 Discussion on the remaining issues of HARQ enhancements OPPO
12. R1-2004257 Remaining issues on NR-U HARQ scheduling and feedback Nokia, Nokia Shanghai Bell
13. R1-2004325 Remaining issues and corrections on HARQ enhancement for NR-U Sharp
14. R1-2004445 TP for Enhancements to Scheduling and HARQ Operation for NR-U Qualcomm Incorporated
15. R1-2004529 Text proposal for enhanced dynamic HARQ procedures Google Inc.