**3GPP TSG-RAN WG1 Meeting #103-e *R1-200xxxx***

**e-Meeting, October 26th – November 13th, 2020**

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| *CR-Form-v12.1* | | | | | | | | |
| **[Draft]CHANGE REQUEST** | | | | | | | | |
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|  | **38.213** | **CR** |  | **rev** |  | **Current version:** | **16.3.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Miscellaneous corrections on NR unlicensed configured grant | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Moderator (vivo), ASUSTeK, Intel | | | | | | | | | |
| ***Source to TSG:*** | RAN WG1 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | *NR\_unlic-core* | | | | |  | ***Date:*** | | | 2020-10-31 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | F |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | In section 9, there wee two occasions of “if” within a sentence hence it was not clear how to interpret the subsequent “otherwise”. In section 10.5, how to handle the HARQ-ACK information in DFI for the PUSCH transmission scheduled by DCI was unclear. Furthermore, in the same section it is clarified that *cg-minDFIDelay-r16* for multiple *ConfiguredGrantConfig* in one BWP should be same | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | In section 9, the first occurance of “if” is changed to “when”. In section 10.5, a paragraph is added to clarify when UE receives HARQ-ACK indication in DFI for the PUSCH scheduled by DCI, it assumes the TB is correctly decoded, otherwise it assumed the TP is not correctly decoded. Furthermore, it is clarified that *cg-minDFIDelay-r16* for multiple *ConfiguredGrantConfig* in one BWP should be same | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | The spec is unclear when “otherwise” applies. The spec is not clear on how the UE interprets HARQ-ACK in DCI for PUSCH scheduled by DCI. The spec is unclear if *cg-minDFIDelay-r16* for multiple *ConfiguredGrantConfig* in one BWP should be same or different. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 9, 10.5 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | | This is an isolated CR, there is no NBC issues. | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

--------------------------------start of chang------------------------------------------------

# 9 UE procedure for reporting control information

If a UE is configured with a SCG, the UE shall apply the procedures described in this clause for both MCG and SCG.

- When the procedures are applied for MCG, the terms 'secondary cell', 'secondary cells' , 'serving cell', 'serving cells' in this clause refer to secondary cell, secondary cells, serving cell, serving cells belonging to the MCG respectively.

- When the procedures are applied for SCG, the terms 'secondary cell', 'secondary cells', 'serving cell', 'serving cells' in this clause refer to secondary cell, secondary cells (not including PSCell), serving cell, serving cells belonging to the SCG respectively. The term 'primary cell' in this clause refers to the PSCell of the SCG.

If a UE is configured with a PUCCH-SCell, the UE shall apply the procedures described in this clause for both primary PUCCH group and secondary PUCCH group

- When the procedures are applied for the primary PUCCH group, the terms 'secondary cell', 'secondary cells' , 'serving cell', 'serving cells' in this clause refer to secondary cell, secondary cells, serving cell, serving cells belonging to the primary PUCCH group respectively.

- When the procedures are applied for secondary PUCCH group, the terms 'secondary cell', 'secondary cells', 'serving cell', 'serving cells' in this clause refer to secondary cell, secondary cells (not including the PUCCH-SCell), serving cell, serving cells belonging to the secondary PUCCH group respectively. The term 'primary cell' in this clause refers to the PUCCH-SCell of the secondary PUCCH group.

If a UE

- is not provided *CORESETPoolIndex* or is provided *CORESETPoolIndex* with a value of 0 for first CORESETs on active DL BWPs of serving cells, and

- is provided *CORESETPoolIndex* with a value of 1 for second CORESETs on active DL BWPs of the serving cells, and

- is provided *ackNACKFeedbackMode-r16* = *separate*

the UE shall separately apply the procedures described in Clauses 9.1 and 9.2.3 for reporting HARQ-ACK information associated with the first CORESETs on active DL BWP of the serving cells and for reporting HARQ-ACK information associated with the second CORESETs on active DL BWP of the serving cells. HARQ-ACK information reporting is associated with a CORESET through a reception of a PDCCH with a DCI format triggering the reporting of the HARQ-ACK information by the UE.

For NR-DC when both the MCG and the SCG operate either in FR1 or in FR2 and for a power headroom report transmitted on the MCG or the SCG, the UE computes *PH* assuming that the UE does not transmit PUSCH/PUCCH on any serving cell of the SCG or the MCG, respectively.

If a UE is configured for NR-DC operation, the UE does not expect to be configured with a PUCCH-SCell.

A PUSCH or a PUCCH transmission, including repetitions if any, can be of priority index 0 or of priority index 1. For a configured grant PUSCH transmission, a UE determines a priority index from *priority*, if provided. For a PUCCH transmission with HARQ-ACK information corresponding to a SPS PDSCH reception or a SPS PDSCH release, a UE determines a priority index from *harq-CodebookID*, if provided. For a PUCCH transmission with SR, a UE determines the corresponding priority as described in Clause 9.2.4. For a PUSCH transmission with semi-persistent CSI report, a UE determines a priority index from a priority indicator field, if provided, in a DCI format 0\_1 or DCI format 0\_2 that activates the semi-persistent CSI report. If a priority index is not provided to a UE for a PUSCH or a PUCCH transmission, the priority index is 0.

If a UE is provided two *PUCCH-Config*

- if the UE is provided *subslotLengthForPUCCH-r16* in the first *PUCCH-Config*, the PUCCH resource for any SR configuration with priority index 0 or any CSI report configuration in any *PUCCH-Config* is within the *subslotLengthForPUCCH-r16* symbols in the first *PUCCH-Config*

- if the UE is provided *subslotLengthForPUCCH-r16* in the second *PUCCH-Config*, the PUCCH resource for any SR configuration with priority index 1 in any *PUCCH-Config* is within the *subslotLengthForPUCCH-r16* symbols in the second *PUCCH-Config*

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.

When a UE determines overlapping for PUCCH and/or PUSCH transmissions of different priority indexes, the UE first resolves the overlapping for PUCCH and/or PUSCH transmissions of smaller priority index as described in Clause 9.2.5. Then,

- if a transmission of a first PUCCH of larger priority index scheduled by a DCI format in a PDCCH reception would overlap in time with a transmission of a second PUSCH or a second PUCCH of smaller priority index, the UE cancels the transmission of the second PUSCH or the second PUCCH before the first symbol that would overlap with the first PUCCH transmission

- if a transmission of a first PUSCH of larger priority index scheduled by a DCI format in a PDCCH reception would overlap in time with a transmission of a second PUCCH of smaller priority index, the UE cancels the transmission of the second PUCCH before the first symbol that would overlap with the first PUSCH transmission

where

- the overlapping is applicable before or after resolving overlapping among channels of larger priority index, if any, as described in Clause 9.2.5

- the UE expects that the transmission of the first PUCCH or the first PUSCH, respectively, would not start before after a last symbol of the corresponding PDCCH reception

- is the PUSCH preparation time for a corresponding UE processing capability assuming [6, TS 38.214], based on and as subsequently defined in this Clause, and is determined by a reported UE capability

If a UE is scheduled by a DCI format in a first PDCCH reception to transmit a first PUCCH or a first PUSCH of larger priority index that overlaps with a second PUCCH or a second PUSCH transmission of smaller priority index that, if any, is scheduled by a DCI format in a second PDCCH

- is based on a value of corresponding to the smallest SCS configuration of the first PDCCH, the second PDCCHs, the first PUCCH or the first PUSCH, and the second PUCCHs or the second PUSCHs

- if the overlapping group includes the first PUCCH

- if *processingType2Enabled* of *PDSCH-ServingCellConfig* is set to *enable* for the serving cell where the UE receives the first PDCCH and for all serving cells where the UE receives the PDSCHs corresponding to the second PUCCHs, and if *processingType2Enabled* of *PUSCH-ServingCellConfig* is set to *enable* for the serving cells with the second PUSCHs, *N2* is 5 for , 5.5 for  and 11 for

- else, *N2* is 10 for =0*,* 12 for , 23 for , and 36 for ;

- if the overlapping group includes the first PUSCH

- if *processingType2Enabled* of *PUSCH-ServingCellConfig* is set to *enable* for the serving cells with the first PUSCH and the second PUSCHs and if *processingType2Enabled* of *PDSCH-ServingCellConfig* is set to *enable* for all serving cells where the UE receives the PDSCHs corresponding to the second PUCCHs, *N2* is 5 for , 5.5 for  and 11 for

- else, *N2* is 10 for =0*,* 12 for , 23 for , and 36 for ;

If a UE would transmit the following channels that would overlap in time

- a first PUCCH of larger priority index with SR and a second PUCCH or PUSCH of smaller priority index, or

- a configured grant PUSCH of larger priority index and a PUCCH of smaller priority index, or

- a first PUCCH of larger priority index with HARQ-ACK information only in response to a PDSCH reception without a corresponding PDCCH and a second PUCCH of smaller priority index with SR and/or CSI, or a configured grant PUSCH with smaller priority index, or a PUSCH of smaller priority index with SP-CSI report(s) without a corresponding PDCCH, or

- a PUSCH of larger priority index with SP-CSI reports(s) without a corresponding PDCCH and a PUCCH of smaller priority index with SR, or CSI, or HARQ-ACK information only in response to a PDSCH reception without a corresponding PDCCH, or

- a configured grant PUSCH of larger priority index and a configured PUSCH of lower priority index on a same serving cell

the UE is expected to cancel the PUCCH/PUSCH transmissions of smaller priority index before the first symbol overlapping with the PUCCH/PUSCH transmission of larger priority index.

A UE does not expect to be scheduled to transmit a PUCCH or a PUSCH with smaller priority index that would overlap in time with a PUCCH of larger priority index with HARQ-ACK information only in response to a PDSCH reception without a corresponding PDCCH. A UE does not expect to be scheduled to transmit a PUCCH of smaller priority index that would overlap in time with a PUSCH of larger priority index with SP-CSI report(s) without a corresponding PDCCH.

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.

In the remaining of this Clause, if a UE is provided *subslotLengthForPUCCH-r16*, a slot for an associated PUCCH transmission includes a number of symbols indicated by *subslotLengthForPUCCH-r16*.

If a UE would transmit on a serving cell a PUSCH without UL-SCH that overlaps with a PUCCH transmission on a serving cell that includes positive SR information, the UE does not transmit the PUSCH.

If a UE would transmit CSI reports on overlapping physical channels, the UE applies the priority rules described in [6, TS 38.214] for the multiplexing of CSI reports.

If a UE has overlapping resources for PUCCH transmissions in a slot and at least one of the PUCCH transmissions is with repetitions over multiple slots, the UE first follows the procedures described in Clause 9.2.6 for resolving the overlapping among the resources for the PUCCH transmissions.

If a UE

- would multiplex UCI in a PUCCH transmission that overlaps with a PUSCH transmission, and

- the PUSCH and PUCCH transmissions fulfill the conditions in Clause 9.2.5 for UCI multiplexing,

the UE

- multiplexes only HARQ-ACK information, if any, from the UCI in the PUSCH transmission and does not transmit the PUCCH if the UE multiplexes aperiodic or semi-persistent CSI reports in the PUSCH;

- multiplexes only HARQ-ACK information and CSI reports, if any, from the UCI in the PUSCH transmission and does not transmit the PUCCH if the UE does not multiplex aperiodic or semi-persistent CSI reports in the PUSCH.

A UE does not expect to multiplex in a PUSCH transmission in one slot with SCS configuration  UCI of same type that the UE would transmit in PUCCHs in different slots with SCS configuration  if .

A UE does not expect to multiplex in a PUSCH transmission or in a PUCCH transmission HARQ-ACK information that the UE would transmit in different PUCCHs.

A UE does not expect a PUCCH resource that results from multiplexing overlapped PUCCH resources, if applicable, to overlap with more than one PUSCHs if each of the more than one PUSCHs includes aperiodic CSI reports.

A UE does not expect to detect a DCI format scheduling a PDSCH reception or a SPS PDSCH release, or a DCI format including a One-shot HARQ-ACK request field with value 1, and indicating a resource for a PUCCH transmission with corresponding HARQ-ACK information in a slot if the UE previously detects a DCI format scheduling a PUSCH transmission in the slot and if the UE multiplexes HARQ-ACK information in the PUSCH transmission.

If a UE multiplexes aperiodic CSI in a PUSCH and the UE would multiplex UCI that includes HARQ-ACK information in a PUCCH that overlaps with the PUSCH and the timing conditions for overlapping PUCCHs and PUSCHs in Clause 9.2.5 are fulfilled, the UE multiplexes only the HARQ-ACK information in the PUSCH and does not transmit the PUCCH.

If a UE transmits multiple PUSCHs in a slot on respective serving cells that include first PUSCHs that are scheduled by DCI formats and second PUSCHs configured by respective *ConfiguredGrantConfig* or *semiPersistentOnPUSCH*, and the UE would multiplex UCI in one of the multiple PUSCHs, and the multiple PUSCHs fulfil the conditions in Clause 9.2.5 for UCI multiplexing, the UE multiplexes the UCI in a PUSCH from the first PUSCHs.

If a UE transmits multiple PUSCHs in a slot on respective serving cells and the UE would multiplex UCI in one of the multiple PUSCHs and the UE does not multiplex aperiodic CSI in any of the multiple PUSCHs, the UE multiplexes the UCI in a PUSCH of the serving cell with the smallest *ServCellIndex* subject to the conditions in Clause 9.2.5 for UCI multiplexing being fulfilled. If the UE transmits more than one PUSCHs in the slot on the serving cell with the smallest *ServCellIndex* that fulfil the conditions in Clause 9.2.5 for UCI multiplexing, the UE multiplexes the UCI in the earliest PUSCH that the UE transmits in the slot.

If a UE transmits a PUSCH over multiple slots and the UE would transmit a PUCCH with HARQ-ACK and/or CSI information over a single slot that overlaps with the PUSCH transmission in one or more slots of the multiple slots, and the PUSCH transmission in the one or more slots fulfills the conditions in Clause 9.2.5 for multiplexing the HARQ-ACK and/or CSI information, the UE multiplexes the HARQ-ACK and/or CSI information in the PUSCH transmission in the one or more slots. The UE does not multiplex HARQ-ACK and/or CSI information in the PUSCH transmission in a slot from the multiple slots if the UE would not transmit a single-slot PUCCH with HARQ-ACK and/or CSI information in the slot in case the PUSCH transmission was absent.

If a UE transmits a PUSCH with repetition Type B and the UE would transmit a PUCCH with HARQ-ACK and/or CSI information over a single slot that overlaps with the PUSCH transmission in one or more slots, the UE expects all actual repetitions of the PUSCH transmission [6, TS 38.214] that would overlap with the PUCCH transmission to fulfill the conditions in Clause 9.2.5 for multiplexing the HARQ-ACK and/or CSI information, and the UE multiplexes the HARQ-ACK and/or CSI information in the earliest actual PUSCH repetition of the PUSCH transmission that would overlap with the PUCCH transmission and includes more than one symbol. The UE does not expect that all actual repetitions that would overlap with the PUCCH transmission do not include more than one symbol.

If the PUSCH transmission over the multiple slots is scheduled by a DCI format that includes a DAI field, the value of the DAI field is applicable for multiplexing HARQ-ACK information in the PUSCH transmission in any slot from the multiple slots where the UE multiplexes HARQ-ACK information.

When a UE would multiplex HARQ-ACK information in a PUSCH transmission that is configured by a *ConfiguredGrantConfig*, and includes CG-UCI [5, TS 38.212], the UE multiplexes the HARQ-ACK information in the PUSCH transmission if the UE is provided *cg-CG-UCI-Multiplexing*; otherwise, the UE does not transmit the PUSCH and multiplexes the HARQ-ACK information in a PUCCH transmission or in another PUSCH transmission.

-----------------------end of change------------------------------------------------

---------------------start of change---------------------------------------------------

## 10.5 HARQ-ACK information for PUSCH transmissions

A UE can be configured a number of search space sets to monitor PDCCH for detecting a DCI format 0\_1 with a DFI flag field and CRC scrambled with a CS-RNTI provided by *cs-RNTI*. The UE determines that the DCI format provides HARQ-ACK information for PUSCH transmissions based on an when a DFI flag field value is set to '1', if a PUSCH transmission is configured by *ConfiguredGrantConfig*.

The HARQ-ACK information corresponds to transport blocks in PUSCH transmissions for all HARQ processes for a serving cell of a PDCCH reception that provides DCI format 0\_1 or, if DCI format 0\_1 includes a carrier indicator field, for a serving cell indicated by a value of the carrier indicator field.

For a PUSCH transmission configured by *ConfiguredGrantConfig*, HARQ-ACK information for a transport block of a corresponding HARQ process number is valid if a first symbol of the PDCCH reception is after a last symbol of the PUSCH transmission, or of any repetition of the PUSCH transmission, by a number of symbols provided by *cg-minDFIDelay-r16*.

For an initial transmission by a UE of a transport block in a PUSCH configured by *ConfiguredGrantConfig*, if the UE receives a CG-DFI that provides HARQ-ACK information for the transport block, the UE assumes that the transport block was correctly decoded if the HARQ-ACK information value is ACK; otherwise, the UE assumes that the transport block was not correctly decoded.

For a PUSCH transmission scheduled by a DCI format, if the UE receives a CG-DFI that provides HARQ-ACK information for the transport block, the UE assumes that the transport block was correctly decoded if the HARQ-ACK information value is ACK; otherwise, the UE assumes that the transport block was not correctly decoded.For a PUSCH transmission scheduled by a DCI format, HARQ-ACK information for a transport block of a corresponding HARQ process number is valid if a first symbol of the PDCCH reception is after a last symbol of the PUSCH transmission by a number of symbols provided by *cg-minDFIDelay-r16* or, if the PUSCH transmission is over multiple slots,

- after a last symbol of the PUSCH transmission in a first slot from the multiple slots by a number of symbols provided by *cg-minDFIDelay-r16*, if a value of the HARQ-ACK information is ACK.

- after a last symbol of the PUSCH transmission in a last slot from the multiple slots by a number of symbols provided by *cg-minDFIDelay-r16*, if a value of the HARQ-ACK information is NACK.

UE does not expect to be configured with different *cg-minDFIDelay-r16* among multiple *ConfiguredGrantConfig* in one BWP.

------------end of change-------------------------------------