**3GPP TSG RAN WG1 Meeting #106-e** **R1-2108223**

**August 16th – August 27th, 2021**

**Agenda item: 8.2.6**

**Source: Moderator (Qualcomm Incorporated)**

**Title: Contribution summary of channel access mechanism for 52.6GHz-71GHz band, ver01**

**Document for: Discussion and Decision**

# Introduction

This paper summarizes the channel access related proposals submitted to agenda item 8.2.6 in RAN1-106e.

# Summary of contributions

The section summarises key proposals and observations from submitted contributions. Discussion points arising from each group of topics are captured separately in subsections.

## ED Threshold computation FFS Items

Agreement:

The baseline ED threshold can be computed as

Where Pout is RF output power (EIRP) and Pmax is the RF output power limit, Pout≤Pmax.

* FFS: Further adjustment on ED threshold based on the sensing beam and the transmission beam (further adjustment should not violate EDT requirements as per regulations)
* FFS: If Pout is max output EIRP of the device or instantaneous output EIRP
* FFS definition of Operating Channel BW
* FFS: Whether ED threshold for NR-U and NR-U coexistence scenarios (eg, at regulation level) can be appropriately relaxed compared with the threshold of coexistence between NR-U and Wi-Fi.
* FFS: EDT when the COT has time varying transmission beams and varying EIRP

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | *Proposal 3: For operation in NR-U-60, the agreed baseline EDT formula should be adjusted such that, for a given RF output power (EIRP), the EDT proportionally increases with the effective beamforming gain of the potential following transmission(s) by the device. Proposal 4: For operation in NR-U-60, when LBT is used, adopt the following formula to capture the potential adjustment to the baseline EDT formula based on the transmit beamforming gain: EDT=-80 dBm+10\*〖log〗\_10⁡(Pmax/Pout)+10\*〖log〗\_10⁡(BW [MHz])+(1-a)(G\_TX -G\_(TX,max)) GTX is the effective transmit antenna gain at the potential transmitter [dBi] GTX,max is the maximum effective transmit antenna gain considered for the deployment [dBi] a is a scaling factor such that 0≤ a≤ 1 Proposal 5: For operation in NR-U-60, when LBT is used, the sensing beamforming gain of the LBT beam is deducted from the detected energy level before comparing it to the EDT.* |
| vivo | Proposal 10: The ED threshold for CCA check should consider the impact of beamforming gain of the directional sensing beams. |
| Spreadtrum Communications | Proposal 6: The formula of ED threshold should consider the LBT bandwidth and beamforming gain. |
| InterDigital Inc. | Proposal 12: Adapt EDT to account for beamforming gain of the sensing beam. |
| Samsung | Proposal 6: ED threshold should depend on: ·Whether other technology sharing the channel is absent or not on a long-term basis; ·LBT bandwidth (which is operation channel bandwidth in regulation); ·Beam parameters including beamforming gain and/or beam direction for transmission and/or receiving. |
| CATT | Proposal 7: Adjustment value should be considered for the baseline ED threshold.  Proposal 8: For adjustment value on baseline EDT, at least beamforming gain difference between the transmission beam and sensing beam should be considered. |
| ZTE Sanechips | Proposal 18: Considering potential mismatch between sensing beam and transmission beam, the ED threshold provided by the ETSI BRAN 302 567 can be modified to consider mismatching between sensing beam and transmission beam.  Proposal 19: For NR-U and NR-U coexistence scenarios, its ED threshold can be considered to be appropriately relaxed compared with the threshold of coexistence between NR-U and Wi-Fi. |
| Ericsson | *Observation 3 ED threshold defined in EN 302 567 v2.2.0 is a function of the transmission’s EIRP Pout, which includes the transmission beamforming gain. It does not include the sensing beamforming gain.*  *Proposal 3 Further adjustment on ED threshold based on the transmission and sensing beamforming gains could be up to implementation while not violating EDT requirements as per regulations.* |
| FUTUREWEI | Proposal 2: Utilize a separate EDT for each sensing beam. |
| Nokia, Nokia Shanghai Bell | Observation 3: Proposal 8 allows also for implementation according to RAN1#104bis working assumption.  Proposal 10: Further adjustment of EDT based on the sensing and transmission beams is not specified. |
| NEC | Proposal 1: The energy detection threshold adaptation for beam based channel access procedure should take into account the beamforming gain and mapping between transmission beam(s) and sensing beam(s). |
| Qualcomm Incorporated | Proposal 2: Support additional adjustment to Energy Detection computation/threshold to include the relationship between the transmit beamforming and sensing beam.  Proposal 3: If sensing beam is same as transmission beam, the beam based adjustment to the Energy Detection computation/threshold should be zero. |
| LG Electronics | Proposal #14: The ED threshold provided by the ETSI 302 567 can be enhanced considering the following points:   l  The size of LBT bandwidth   l  Transmit power of beam(s) in the COT   l  The beam correspondence capability/requirement of UE. |
| Intel Corporation | Proposal 4: When operating in unlicensed 60 GHz band, the ED threshold calculation shall account for the sensing beam used to perform the LBT procedure.  Proposal 5: In case the network is able to assess the absence of any other incumbent technology, the ED threshold value that a device may use during the LBT procedure is up to the gNB and may be configured via higher layer signaling. |
| AT&T | Proposal 2:   • The ED threshold can be adjusted based on the sensing beam and the transmission beam within any requirements per regulations   o FFS: ED threshold when the COT has time varying transmission beams and varying EIRP |

Working assumption:

* For Pout in EDT determination, define Pout as the maximum EIRP of the node determining EDT during a COT.

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Observation 1: Adopting the “maximum of mean EIRP of each transmission burst” is not a practical solution as it requires the gNB to know all scheduling decisions for up to 320 slots at 960 kHz before acquiring the COT. Proposal 1: For operation in NR-U-60, confirm the working assumptions on the definition of Pout in the previously agreed baseline EDT formula. |
| vivo | Proposal 7: The transmission burst is a set of transmissions from gNB/UE from one or more transmission beams within a sensing beam without any gaps greater than [16us]. Proposal 8: For Pout in EDT determination, define Pout as the maximum of mean EIRP of transmission burst for the node determining EDT during a COT. |
| Ericsson | *Observation 1 According to the regulations it is sufficient to use only the initiating device’s Pout to determine EDT.*  *Observation 2 The argument to use both EIRPs from the initiating and responding devices to determine Pout for a node initiating a COT is insufficient as the responding device may also use a different bandwidth than the initiating device.*  *Proposal 1 Confirm that Pout corresponds to the maximum of the mean output power EIRPs of the transmissions or transmission bursts in a COT that may contain varying transmission beams and EIRPs.*  *Proposal 2 Confirm that Pout is estimated only based on the node initiating the COT even for COT sharing cases.* |
| FUTUREWEI | Proposal 1: Define a transmission burst to be a contiguous sequence of transmissions along any transmit beam.  Observation 1. Using common Pout (common EDT) for multiple sensing beams can limit spatial reuse. |
| Nokia, Nokia Shanghai Bell | Proposal 9: For Pout in EDT determination, define Pout as at least the maximum of mean EIRPs of the transmission bursts of the node initiating the COT during the COT. |
| Charter Communications | Proposal 1: Confirm the working assumption for the EDT definition: Pout is defined as the maximum EIRP of the node determining EDT during a COT. |

### First Round Discussion

Discussion 2.1.1-1

On further adjustment on ED threshold based on the sensing beam and the transmission beam (further adjustment should not violate EDT requirements as per regulations), please provide your view for the following

* Alt A: Support additional adjustment to Energy Detection computation/threshold to include transmit beamforming and/or sensing beam
* Alt B: No additional adjustment to Energy Detection computation introduced (Energy measurement directly compared with baseline EDT agreed no matter which transmit beamform(s) and sensing beam(s) are used

Summary of Positions:

* Alt A: HW, Vivo, Spreadtrum, InterDigital, Samsung, CATT, ZTE, FUTUREWEI, NEC, Qualcomm, Intel, AT&T. Samsung, LG, OPPO
* Alt B: Ericsson, Nokia,

Please provide your position if not already captured above

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| Company | View |
| vivo | Since the ED threshold is defined assuming a 0 dBi receiving antenna. When directional LBT is applied, the beamforming gain for the receiving antenna is no longer 0 dBi, and the impact of the beamforming gain of the sensing beam should be counted in when calculating the ED threshold. |
| Charter Communications | Support Alt B, that is sufficient to satisfy ETSI requirements. |
| Intel | We support Alt. A. As it has been highlighted during the SI, when accounting for the specifics of the sensing and transmit beam within the ED threshold calculation, it is possible to achieve better system performance given that different level of protection may be offered when LBT is performed with a narrower or wider beam. In this matter, it may be beneficial within the ED threshold calculation to also account more specifically for the measurement and transmit beam used so that to exploit the advantage described above. |
| OPPO | Our position is added in the summary in RED |
| NEC | We support Alt. A. Different from NR-U, beamformed narrower transmission and corresponding directional LBT can be applied in 60GHz, the beamforming gain should be considered in EDT calculation to reflect system difference. |

The following discussion points are for Companies in support of further adjustment of ED Threshold

Proposal 2.1.1-2

The value of the adjustment to ED threshold based on the sensing beam and the transmission beam should be zero if

* Alt 1. Same beam is used for transmission or reception.
* Alt 2. Pseudo-omni beam is used for sensing

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| Company | View |
| vivo | Zero adjustment is feasible only for 0 dBi receiving antenna gain. |
| Intel | Same view as Vivo |
| OPPO | Alt-1 is our understanding, if the Tx and Rx antenna again is the same, there is no adjustment. |
| NEC | We prefer Alt. 1. |
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| Huawei/HiSilicon | We do not support the proposal.  In our view, zero adjustment can be used when the effective transmit beam forming gain is equal to the maximum gain value considered for the deployment, e.g. 30dBi, to ensure that the adjustment does not violate the EDT requirements as per regulations. Our proposed EDT is as follows:  Where the red-marked term is the adjustment term. In our view, the amount of adjustment should be proportional to the beamforming gain. Also, the impact of the sensing beam and the impact of the transmission beam are decoupled. We propose that the sensing beamforming gain of the LBT beam is simply deducted from the detected energy level before comparing it to the EDT.  As for Alt 1 and Alt 2 above, we have some questions for clarification:   1. In Alt. 1, do you mean that the same LBT beam is used for Tx? 2. In Alt. 2, Pseudo-omni LBT beam is not defined. So, how the value of EDT adjustment could be determined based on an undefined parameter? |

Proposal 2.1.1-3

Confirm the working assumption on Pout definition in RAN1 #104bis-e with the following updates:

* For Pout in EDT determination, define Pout to be at least the maximum of mean EIRP of each transmission burst during the COT at the node initiating the COT.

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| Company | View |
| vivo | We support the proposal. |
| Charter Communications | We support the proposal |
| Intel | We are Ok to confirm the working assumption. |
| OPPO | We are fine with the working assumption, but we would like to add an FFS:  FFS: whether the value of maximum of mean EIRP can be provided by network to UE when UE initiating the COT. |
| NEC | We support the proposal. |
| Huawei/HiSilicon | Our preference is to confirm the original working assumption on the definition of Pout, i.e., “maximum EIRP of the node determining EDT during a COT”.  This is because adopting the “maximum of mean EIRP of each transmission burst” is not a practical solution as it requires the gNB to know all scheduling decisions for up to 320 slots at 960 kHz before acquiring the COT.  Moreover, Proposal 2.1.1-3 requires to define transmission burst. |

Proposal 2.1.1-4

Please provide your view if a node can initiate two (or more) (partially) overlapping COT in two different beams

Moderator: This effectively is a question if the COT is defined per initiating node, or per initiating node per beam.

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| Company | View |
| vivo | From our point of view, the COT is defined per-sensing beam per initiating node. An initiating node may perform LBT for beam 2 during the COT of beam 1, and then perform MU-MIMO transmission. Therefore, the COT of beam 1 and beam 2 can overlap. |
| Charter | COT should be defined per initiating node. If a COT is defined per beam, then it seems a node can initiate one COT after another and transmit indefinitely. |
| Intel | In our view, the COT is initiated per initiating node per beam, and a device is indeed able to initiate two (or more) independent COTs through two (or more) different beams, which may partially overlap. |
| OPPO | We support that COT is defined per initiating node per beam. |
| NEC | We support the COT can be defined per initiating node and per beam. Based on two or more independent sensing beams, concurrent independent COTs could improve the system transmission efficiency. |
| Huawei/HiSilicon | We are not supportive of defining COT per initiating per beam.  Supporting such a notion contradicts the notion of ‘multi-beam COT’ still being discussed in discussion point 2.7 and compromises the progress made in the previous meetings for initiating a COT with SDM/TDM beams.  Therefore, we do not support that a node initiates two (or more) (partially) overlapping COT in two different beams. |

## LBT Bandwidth FFS Items

Agreement:

For LBT for single carrier transmission, consider the following alternatives

* Alt SC.1. gNB/UE performs LBT over the channel bandwidth (or BWP bandwidth)
* Alt SC.2. gNB/UE performs LBT over the transmission bandwidth (from the lowest RB to the highest RB used for the transmission)
* Alt SC.3. Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth

For LBT for multi-carrier transmission in intra-band CA, consider the following alternatives

* Alt CA.1. gNB/UE performs multiple LBT, one for each channel bandwidth separately
* Alt CA.2. gNB/UE performs single LBT over all CCs
* Alt CA.3. gNB/UE performs multiple LBT, one for each CC over the transmission bandwidth (from the lowest RB in to the highest RB used for the transmission in the CC)
* Alt CA.4. gNB/UE performs LBT over the transmission bandwidth over all CCs (from the lowest RB in the lowest CC to the highest RB in the highest CC used for the transmission)
* Alt CA.5. Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth in each CC

Note: supporting more than one alternative for at least multi-carrier transmission in intra-band CA is not precluded.

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | *Proposal 2: For operation in NR-U-60, the term ‘Operating Channel Bandwidth’ in the agreed baseline EDT formula is defined as the ‘LBT Bandwidth’ or the ‘bandwidth on which a channel access procedure is performed in shared spectrum’.*  Proposal 9: For a single-carrier transmission in NR-U-60, support performing a single LBT over the channel/BWP bandwidth, i.e. Alt SC.1. Proposal 10: For a multi-carrier transmission in intra-band CA in NR-U-60, support both performing a single LBT over all CCs, and performing multiple LBTs, one for each channel bandwidth separately, i.e., Alt CA.2 and Alt CA.1, respectively. |
| vivo | Proposal 1: Both Alt SC.1 and Alt SC. 3 are supported for single carrier transmission. With Alt SC 3, gNB performs multi-channel LBT in all the LBT units to be transmitted in, and the UE performs wideband LBT over the active BWP or over all the LBT units to be transmitted in. Proposal 2: Both Alt CA.1 and Alt CA. 5 are supported for multi-carrier transmission. With Alt CA 5, gNB performs multi-channel LBT in all the LBT units to be transmitted in, and the UE performs wideband LBT over the active BWP or over all the LBT units to be transmitted in in each carrier. Proposal 3: The LBT unit can be indicated via RRC signalling.  Proposal 9: The LBT bandwidth should be used as the operating channel bandwidth for EDT evaluation. |
| Spreadtrum Communications | Proposal 1: Regarding LBT bandwidth, at least Alt SC.1 and Alt CA.1 should be supported  • For single carrier transmission, at least gNB/UE should perform LBT over the channel bandwidth (or BWP bandwidth) • For multi-carrier transmission, at least gNB/UE should perform multiple LBT, one for each channel bandwidth separately |
| InterDigital Inc. | Proposal 13: The Operating Channel BW used in the EDT formula is equivalent to the LBT BW.  Proposal 15: For single-carrier transmission, support Alt SC.3.  Proposal 16: For multi-carrier transmission, support Alt CA.5.  Proposal 17: Support a set of units of LBT BWs and LBT is performed in each CC on one or more adjacent LBT BWs that covers at least the transmission BW. |
| Lenovo Motorola Mobility | Proposal 1: For NR unlicensed bands between 52.6 GHz and 71 GHz, for LBT based channel access mechanism, there is no need to specify the nominal bandwidth in 3GPP and it is up to devices’ implementation on how to meet the OCB requirements  Proposal 2: For NR unlicensed bands between 52.6 GHz and 71 GHz, for LBT based channel access mechanism:- For single carrier transmission defining a unit of LBT bandwidth where gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidt- For multi-carrier transmission in intra-band CA, support defining a unit of LBT bandwidth where gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth in each CC- Defined LBT bandwidth value is fixed for both cases |
| Samsung | Proposal 2: For LBT bandwidth, support Alt SC.1 + CA.1 + CA.2 as the first preference, and SC.3 + CA.5 as the second preference. |
| CATT | Proposal 6: For LBT bandwidth, Alt SC.1 and Alt CA.1 should be supported. |
| ZTE Sanechips | Proposal 2: The nominal bandwidth can be defined as follows:   • Nominal bandwidths for the purpose of OCB requirements at the UE are the channel BWs for transmission supported by the UE from the set of channel BWs (carrier BWs) to be defined in 38.101.   • Nominal bandwidths for the purpose of OCB requirements at the gNB are the channel BWs for transmission supported by the gNB from the set of channel BWs (carrier BWs) to be defined in 38.104.  Proposal 3: Support Alt SC.3 that “Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth” and Alt CA.5 that “Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth in each CC”, considering channel access probability and spectrum utilization.  Proposal 4: If Alt SC.3 and Alt CA.5 are supported, it is not necessary to separately define LBT bandwidth for single carrier and multi-carrier cases, just a LBT bandwidth unit needs to be defined.  Proposal 5: If Alt SC.3 and Alt CA.5 are supported, it is recommended that the unit of LBT bandwidth is defined as a fixed value such as the minimum channel bandwidth from the perspective of implementation complexity.  Proposal 6: Considering Alt SC.1 and Alt CA.1 can be seen as the special cases of Alt SC.3 and CA.5 respectively, Alt SC.1 and Alt CA.1 can be also supported only if the channel bandwidth is configured as the unit of LBT bandwidth. |
| Ericsson | *Observation 4 In EN 302 567, the nominal channel bandwidth and at least one transmission mode with occupied channel BW 70% of NBW is defined for spurious out-of-band emissions and not for LBT purposes.*  Observation 5 The relationship between the LBT bandwidth and the channel bandwidth is not specified in EN 302 567 for the sake of technology-neutrality and flexibility.  Observation 6 Operating channel BW defined in EN 302 567 is the LBT BW in RAN1 which is already defined in 37.213 as a “channel”  Observation 7 Alt SC3/CA5 poses an artificial restriction to insert guard bands at the end of the LBT units  Observation 8 For SC3, LBT failure for a node within a LBT unit is complex and not discussed.  Observation 9 Definitions in EN 302 567 and TS 37.213 at least covers Alt SC1.  *Proposal 4 Support Alt SC1/Alt CA1 for LBT in single carrier and multi-carrier operation. Other options are not precluded by implementation.* |
| FUTUREWEI | Proposal 5: In LBT for single carrier transmission gNB/UE performs LBT over the channel bandwidth (or BWP bandwidth).  Proposal 6: In LBT for multi carrier transmission gNB/UE support:   • gNB/UE performs multiple LBT, one for each channel bandwidth separately,   • gNB/UE performs single LBT over all CCs. |
| Nokia, Nokia Shanghai Bell | Proposal 12: Support Alt SC.1 for single carrier transmission and both Alt CA.1 and Alt CA.2 for multiple carrier transmission.  Proposal 13: For multiple carrier transmission, how to perform LBT is left to implementation and there is no motivation to indicate the LBT bandwidth adopted by gNB/UE. |
| Charter Communications | Proposal 3: For LBT bandwidth, support at least Alt SC.1: gNB/UE performs LBT over the channel bandwidth (or BWP bandwidth). A transmission is initiated only if the entire LBT bandwidth is found to be unoccupied. FFS: If minimum BWP bandwidth used for LBT is the same as the minimum channel BW for a SCS.  Proposal 4: For multi-carrier LBT, support Alt CA.1: gNB/UE performs multiple LBT, one for each channel bandwidth separately. gNB/UE can transmit on any channel bandwidth(s) that pass LBT, adjacent or non-adjacent. |
| CAICT | Proposal 1: For LBT for single carrier transmission, Alt SC.1 should be supported as baseline.  Proposal 2: For LBT for multi-carrier transmission, Alt CA.1 and Alt CA.2 should be supported. |
| OPPO | Proposal 1: support both Alt SC.1 and Alt SC. 3.  Proposal 2: support both Alt CA.1 and Alt CA.5. |
| Qualcomm Incorporated | Proposal 4: For a single carrier transmission, enable mechanism that permits access to part of the carrier based on LBT success in that part of the carrier.  Proposal 5: For single carrier LBT, support both Alt SC.1 and Alt SC.3 as implementation choices, as long as the aggregated LBT bandwidth covers the transmission bandwidth.  Proposal 6: If Alt SC.3 is supported, for UL to DL COT Sharing, the LBT bandwidth adopted is indicated to gNB via UE capability signaling.  Proposal 7: For multi-carrier transmission in intra-band CA, Alt-CA.1, Alt-CA-2, and Alt CA.5 are made implementation choices, the aggregated LBT bandwidth covers the transmission bandwidth. |
| LG Electronics | Proposal #3: UE can be configured with one of multiple LBT bandwidth values which at least include carrier bandwidth as the minimum value and 2.16 GHz. |
| MediaTek Inc. | Proposal 1:RAN 1 should discuss the relation between sensing result and permissible transmission of each LBT bandwidth for DL and UL transmissions before finalizing the LBT bandwidth for 60 GHz.  Proposal 2:Support SC. 1 and CA. 1 as the baseline LBT bandwidth. If UL in 60 GHz can only begin the transmission when all LBT bandwidth has “idle” sensing results as in sub-6 NR-U, CA. 2 can be considered. |
| Intel Corporation | Proposal 6: In single carrier transmission, a gNB/UE performs LBT over the channel bandwidth.  Proposal 7: For carrier aggregation, a gNB/UE performs multiple LBTs and one over each channel bandwidth. |
| Apple | *Proposal 2: LBT bandwidth is channel bandwidth or BWP bandwidth for single carrier.*  *Proposal 3: If LBT unit based sensing is supported, enable LBT unit based sensing only at the gNB.* |
| NTT DOCOMO INC. | * Proposal 1: * For LBT for single carrier transmission and multi-carrier transmission in intra-band CA, support either of the following: * Alt.A: Adopt Alt SC.1 (gNB/UE performs LBT over the channel bandwidth (or BWP bandwidth)) for single carrier transmission and Alt CA.1 (gNB/UE performs multiple LBT, one for each channel bandwidth separately) for multi-carrier transmission in intra-band * Alt.B: Adopt Alt SC.3 (Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth) for single carrier transmission and Alt CA.5 (Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth in each CC) for multi-carrier transmission in intra-band CA   ²  Minimum CBW can be considered as the unit of LBT bandwidth |
| Xiaomi | *Proposal 1: Support Alt SC.3* *for LBT for single carrier transmission, and Alt CA.5 for multi-carrier transmission in intra-band CA*. |
| Convida Wireless | *Proposal 13: To down-select the options of LBT BW with single carrier and multi-carrier operation for supporting NR form 52.6 GHz to 71 GHz, co-existence of single carrier and multi-carrier operation within a same channel BW should be studied.* |
| WILUS Inc. | *Proposal 1: We support   Alt SC.3 for LBT on single carrier transmission.   At least Alt CA.1 or Alt CA.5 for LBT on multi-carrier transmission in intra-band CA.* |

### First Round Discussion

Summary of Positions

* For LBT with single carrier transmission, at least Alt SC.1 should be supported
  + HW, Vivo (both), Spreadtrum, Samsung (first preference), CATT, Ericsson, FUTUREWEI, Nokia, Charter, CAICT, OPPO(both), Qualcomm (both), MediaTek, Intel, Apple, DOCOMO (both), Convida
* For LBT with single carrier transmission, Alt-SC.3 should be supported
  + Vivo, InterDigital, Lenovo, Samsung (second preference), ZTE, OPPO, Qualcomm, LG, (MediaTek), DOCOMO, Xiaomi, WILUS

Proposal 2.2.1-1

For single carrier transmission or multi-carrier transmission, should we support the functionality to access a carrier if there is interference in part of the carrier?

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| Company | View |
| vivo | Yes, with this feature, gNB or UE can perform LBT only on the bandwidth with scheduled resources, the interference on the part of channel where no data is scheduled will not affect the channel access. Alt SC 1 is a little bit over protection if the transmission is not spreading over the whole channel. And for DL transmission, same as in NR-U, if part of the channel is occupied, gNB can still use the other part of the channel for DL transmission. |
| Charter Communications | ‘Part’ of the carrier needs to be properly defined. The behavior to define is, for example, if the node is sensing over 400 MHz and a chunk of 50 MHz in the middle is occupied, can the node transmit non-contiguously in the two unoccupied 175 MHz chunks on the LBT BW edges? |
| Intel | As long as the level of interference is below a certain threshold, and fairness is guaranteed we should indeed support this functionality. In this matter, it is important to note that the ED threshold calculation already accounts for the operating BW, which could be simply defined as the channel BW. |
| OPPO | If only Alt SC.1 is supported, we wonder whether it would raise issue for ANR mechanism, which was agreed to reuse legacy mechanism. Note that the legacy mechanism is based on Alt-SC.3 concept. |
| Huawei/HiSilicon | First, we would like to note that the above quoted agreement at the top of Section 2.2 is not the latest relevant agreement for this discussion point. In the latest agreement from RAN1#104bis-e, only SC1 and SC3 are available alternatives for SC transmission, and only CA1, CA2 and CA5 are available alternatives for the multi-carrier transmission:   |  | | --- | | Agreement:  For LBT for single carrier transmission, continue down selection between   * Alt SC.1. gNB/UE performs LBT over the channel bandwidth (or BWP bandwidth) * Alt SC.3. Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth   For LBT for multi-carrier transmission in intra-band CA, continue down selection between   * Alt CA.1. gNB/UE performs multiple LBT, one for each channel bandwidth separately * Alt CA.2. gNB/UE performs single LBT over all CCs * Alt CA.5. Define a unit of LBT bandwidth and gNB/UE performs LBT in all the LBT units (to be transmitted in) in the channel bandwidth in each CC |   Second, although may be useful in some scenarios, we still do not see a strong justification to support the proposed functionality in 2.2.1-1. In our view, supporting this functionality is possible only if we define unit of LBT BW that is smaller than the carrier (we need to support Alt SC.3 and Alt CA.5). Defining such LBT units are not supported by regulation and, further, are not well-justified due to running multiple parallel LBT processes which would be unnecessarily complex and energy wasteful. |

Proposal 2.2.1-2

For LBT for multi-carrier transmissions in intra-band CA, support Alt CA.1, Alt CA.2, and Alt CA.5, and leave the choice to gNB/UE implementation.

* FFS if and how gNB indicates the LBT bandwidth adopted to UE
* FFS if and how UE indicates the LBT bandwidth adopted to gNB

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| Company | View |
| vivo | We only support Alt CA.1 and Alt CA.5.  The application of Alt CA.2 should be FFS since the over protection will reduce the performance of CA. For example, is it feasible/desirable to perform a single LBT covering say 5 CC each with around 2 GHz channel bandwidth?  For Alt CA1, there is no need to indicate LBT bandwidth other than the BWP configuration. The LBT bandwidth of UE is the UL BWP. The LBT bandwidth of gNB is the channel bandwidth.  For Alt CA 5, the LBT bandwidth adopted by UE will be indicated by gNB, it is not determined by UE. gNB and UE will use the same LBT bandwidth. |
| Charter Communications | Support the proposal for the sake of progress |
| Intel | We do not support this proposal, and we believe this would really be not a good design choice, since this may lead to coexistence issues among different vendors, which may effectively perform differently the LBT measurements. Therefore, we would prefer to converge toward a single solution and preferably to Alt CA.1 and Alt. SC.1. |
| OPPO | If different UEs are not aligned with a same LBT bandwidth, then what is the point to perform LBT? The resulting LBT success does not guarantee an interference free environment. |
| Huawei/HiSilicon | We support CA.1 and CA.2.  For CA.2, we think it is important to have the option of performing single LBT over all CCs to reduce the eCCA complexity procedure associated with performing N parallel eCCAs of N CCs especially in low to moderate traffic where the chance of LBT failure is low. *For companies that are against CA.2, please note that we do not believe that CA.2 should be the only mode or default mode of supporting LBT over multiple CCs and that is why we also support CA.1 as well.*  Alt CA.5 may significantly increase the complexity/energy consumption due to running potentially many parallel eCCA processes, especially if a small fixed LBT BW unit, e.g. 100 MHz, is defined to suit different channel and CC BWs (ranging from 100 MHz to up to N\*2GHz where N is the number of CCs). Defining unit of LBT BW may be considered only if the unit size is configurable. |

## Sensing Structures FFS Items

Agreement:

For energy measurement in 8us deferral period, down-select from the following:

* Alt 1. Two energy measurements are required
* Alt 2. One measurement is required
* Alt 3. Extend the 8us to 10us and perform two measurements, one in each 5us segment

For energy measurement in 5us observation slot, perform single measurement

* FFS minimum duration of the measurement
* FFS location of the measurement

Working assumption:

* For energy measurement in 5us observation slot, when performing single measurement, the location of the measurement within the 5us is left for implementation, i.e., anywhere within the 5us.FFS location of the measurement

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Proposal 8: For operation in NR-U-60, when LBT is used, support one energy measurement in the 8us deferral period. T\_d consists of a T\_f duration of 3us immediately followed by a 5us observation slot duration T\_f may include an additional measurement duration by implementation. |
| Spreadtrum Communications | Proposal 7: Two energy measurements are required for 8us deferral period. |
|  | Proposal 8: The duration of the measurement should be 3us for 5us observation slot. |
| Samsung | Proposal 3: For sensing structure, confirm the working assumption from RAN1#104b-e, and support single energy measurement within the 8 us deferral period. |
| CATT | Proposal 2: It is recommended that one measurement is located in the last 5us of the deferral period. Additional energy measurement in the first 3us is FFS. |
| ZTE Sanechips | Observation 10: Current CCA check procedure in EN 302 567 can be regarded as “Cat 4” rather than “Cat3”.  Observation 11: Energy measurement is performed in 3us observation slot and one or more consecutive 5us observation slot(s), respectively.  Observation 12: For deferral period and 5us observation slot, the length of energy measurement can be further discussed. |
| Ericsson | Observation 28 IEEE 802.11ad and IEEE 802.11ay do not perform two energy measurements in the 8 µs deferral period  Observation 29 ETSI HS does not require two energy measurements in 8 µs deferral period.  Observation 30 No simulation studies to suggest that two energy measurements are needed in an 8us deferral period for good coexistence.  Proposal 21 For energy measurement in 8 µs deferral period, Alt2 is preferred.  Proposal 22 The minimum duration of energy measurement within 5 µs can be left for implementation.  Proposal 23 Confirm the working assumption that the location of the energy measurement in 5us can be left for implementation. |
| FUTUREWEI | Proposal 4: For energy measurement in 8us deferral period one measurement is required   FFS where the measurement is located and its minimal duration. |
| Nokia, Nokia Shanghai Bell | Proposal 4: For energy measurement in 8us deferral period, one measurement according to 5 us observation slot is required. |
| Charter Communications | Proposal 2: For energy measurement in a 8us deferral period, support Alt 2 with a single measurement period located in the last 5us of the period. |
| CAICT | Proposal 3: One measurement for energy measurement in 8us deferral period is proposed.  Proposal 4: the measurement within 8us deferral period could be located in the middle of 8us or leave it for implementation. |
| OPPO | Proposal 3: support Alt 1 for energy measurement in 8us deferral period.  Proposal 4: a minimum measurement duration of 2us can be considered.  Proposal 5: confirm the following working assumption   Working assumption:   For energy measurement in 5us observation slot, when performing single measurement, the location of the measurement within the 5us is left for implementation, i.e., anywhere within the 5us.  Proposal 6: the EDT value should be adjusted: smaller value is applied when sensing beam is narrower. |
| Qualcomm Incorporated | Proposal 8: For energy measurement in 8us deferral period, performs a single measurement within 8us, the measurement duration is chosen as at least Y+X us, such that at least Y us of the measurements take place in the first 3 us and Y us of the measurement takes place in the last 5 us. The value of Y is FFS and less than or equal to 3us. |
| MediaTek Inc. | Proposal 3:For sensing structure within a 8 us deferral period, support only Alt 2. |
| Intel Corporation | Proposal 1: Alt-1 is supported and the 8us observation period is divided into two slots of 3 and 5us, respectively. For the energy measurement in the 3us observation slot, the location of the measurement is left up to implementation. |
| Apple | *Proposal 8: Confirm the working assumption* *that within the 5us slot, when performing single measurement, the location of the measurement within the 5us is left for implementation, i.e., anywhere within the 5us.*  *Proposal 9: Only one sensing is required in 8us initial sensing period. It is up to implementation to perform two sensing, or longer sensing time for better accuracy.* |
| WILUS Inc. | *Proposal 2: We propose to support Alt-2 that one measurement is required for energy measurement in 8us deferral period.   Option 1: For the sensing structure within 8us deferral period, the regulation does not specify anything which is left to the implementation at the device. Regardless of one or two energy measurements are required, it seems reasonable to be left to the implementation aspects.   Option 2: Similar to the definition of performing one energy measurement for 16us Cat-2 LBT in Rel-16 NR-U considering to actually miss the channel busy within a 16us, the 8us deferral period includes an observation slot that occurs within the last 5us of 8us deferral period. The channel is considered to be idle within the duration of the 8us deferral period if the channel is sensed to be idle for a total of at least (5us or 4us) with at least 3us of sensing occurring in the observation slot.   Option 3: Similar to the definition of performing one energy measurement for 16us Cat-2 LBT in Rel-16 NR-U considering to actually miss the channel busy within a 16us, the channel is considered to be idle within the duration of the 8us deferral period if the channel is sensed to be idle for a total of at least 5us with at least 3us of sensing occurring in the deferral period.* |

### First Round Discussion

Summary of positions:

* For energy measurement in 8us deferral period, performs single measurement within 8us,
  + Huawei, Samsung, CATT (in last 5us), Ericsson,  ~~OPPO (atleast 2us)~~ FUTUREWEI, Nokia, Charter, CAICT, Qualcomm (Y us in first 3 us), Apple. WILUS, MediaTek
* For energy measurement in 8us deferral period, performs at least 2 measurements within 8us,
  + Spreadtrum, Intel, OPPO

Proposal 2.3.1-1

For energy measurement in 8us deferral period, performs single measurement within 8us, the measurement duration is selected from one of the following alternatives:

* Alt 1: At least 3+X us (FFS X, such as X=1).
* Alt 2: At least X us, where X is the same as the minimum measurement duration in a 5 us observation slot
* Alt 3: At least X+Y us where Y us measurements are done in first 3 us and X is the same as the minimum measurement duration in a 5 us observation slot

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| Company | View |
| Charter Communications | OK with any of the alternatives as long as a single measurement is performed. |
| Intel | As a compromised solution, we are Ok with the proposal if Alt.3 is adopted. |
| OPPO | From WIFI spec IEEE 802.11-2021 page 730, it defines the aCCATime, which is the maximum time that the CCA mechanism is used to determine CCA status. The CCA execution time for determinign CCA status depends on DMG PHY mode, e.g. either DMG SC mode with 1 us duration or DMG control mode with 3 us.    In IEEE 802.11-2021 page 2978, it defines the following for DMG control mode    In IEEE 802.11-2021 page 2992, it defines the following for DMG SC mode    It is noted that WIFI only specifies when the received level greater than threshold, the CCA status is busy. It means that if DMG PHY mode is DMG SC mode, only single CCA within 1 us is not enough, but needs to ensure during aCCATime, all the 1 us CCA status are idle. For this reason, we think only defining single measurement in deferral time is risky. |
| Huawei/HiSilicon | We support the proposal and our preference is Alt 2.  In our understanding, 8 us Td consists of a Tf duration of 3us immediately followed by a 5us observation slot duration in which X us of sensing is performed, whereas Tf may or may not include an additional measurement duration by implementation (such an additional measurement is not specified).  Nevertheless, it is not clear to us how Alt 3 achieves a single measurement within the 8us. It seems that in Alt 3, a special structure is imposed on the 5us observation slot such that the duration X+Y is contiguous and counted as one measurement, which is only possible if the location of the X us is always at the beginning of the 5us observation slot. However, this would go against the following WA agreed in RAN1#104bis-e  **Working assumption:**  For energy measurement in 5us observation slot, when performing single measurement, the location of the measurement within the 5us is left for implementation, i.e., anywhere within the 5us. |

## COT Sharing

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| Agreement:  On maximum gap within a COT to allow COT sharing without LBT, down-select from   * Alt 1. No maximum gap defined. A later transmission can share the COT without LBT with any gap within the maximum COT duration * Alt 3. Define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT   + FFS: Value for Y   + FFS:  How to define the one-shot LBT * FFS location of the measurement |

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| Company | Key Proposals/Observations/Positions |
| vivo | Proposal 4: No maximum gap is defined for COT sharing. A later transmission can share the COT without LBT with any gap within the maximum COT duration. |
| Spreadtrum Communications | Proposal 9: Regarding COT sharing, NO maximum gap is needed. |
| InterDigital Inc. | Proposal 18: When COT sharing, a UE determines whether to use LBT based on the gap duration Y between the upcoming transmission and a previous transmission on the same beam (Alt 3). |
| Lenovo Motorola Mobility | Proposal 16: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz with LBT based channel access mechanism, define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, one-shot LBT is needed to share the COT  Proposal 17: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz with LBT based channel access mechanism, COT sharing between the initiating device and responding device should be supported with at least Cat 2 LBT: - If the responding device is capable of beam correspondence and it is expected to use only any of the Rx beam(s) as Tx beam(s) for its transmission that have been used to receive at least one of the transmissions from the initiating device within the same COT - If the responding device determines at least one suitable beam on which it is allowed to transmit within the same COT, where the suitable beam can be determined as follows: o UE can be configured with a mapping table for determining suitable transmit beams for UL transmissions based on the receive beam(s) which the UE used to receive the prior DL transmissions in the same COT  Proposal 18: For NR unlicensed bands between 52.6 GHz and 71 GHz with directional LBT based channel access mechanism, multiple COT sharing indicators and their corresponding association to different beams can be signaled in a group common DCI and the association of COT sharing indicator to transmission is semi-statically signaled |
| CATT | Proposal 4：When the later transmission starts after the defined maximum gap from the end of the earlier transmission, whether a one-short LBT needs to be performed can be decided by gNB. |
| ZTE Sanechips | Proposal 8: From the perspective of fair and friendly coexistence with other nodes from same/different system, it is recommended that Alt 3: “Define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT” should be supported.   Proposal 9: No LBT can be considered to be used in the following cases:   • COT sharing case only if the later transmission starts within the maximum gap Y from the end of the earlier transmission.   • Specific areas such as ITU region 2 and 3.   • Interference controlled environment.   • The transmission beams of nodes of different operators in the same system (e.g., NR-U) have little interference with each other. |
| Ericsson | Observation 27 ETSI BRAN regulations do not specify a minimum or maximum gap in the 60 GHz HS.  Proposal 19 Support Alt 1 for gaps in COT sharing. |
| FUTUREWEI | Proposal 8: Define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, a one-shot LBT is needed to share the COT:   • FFS: Specific value of Y. |
| Nokia, Nokia Shanghai Bell | Proposal 11: CG PUSCH configuration shall include indication of whether the CG PUSCH configuration is used inside or outside of a gNB initiated COT, or both.  Proposal 27: On maximum gap within a COT to allow COT sharing without LBT, we support Alt. 1.  Proposal 28: In case of Alt. 3 for COT sharing without LBT, the maximum time gap X is at least longer that PDSCH processing time and PUSCH preparation time. |
| NEC | Proposal 3: A maximum gap Y should be defined, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT. |
| CAICT | Proposal 5: Alt.3 should be supported for COT sharing. |
| OPPO | Proposal 10: define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT. The value of Y is 8us or 13us. |
| Qualcomm Incorporated | Proposal 9: If Cat 2 LBT is defined, for COT Sharing, define a configurable maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, a one-shot LBT is needed to share the COT.  Proposal 17: For UL to DL COT sharing with CG-PUSCH, the Time and Frequency resources for RSSI measurement and the reporting can accompany CG-UCI sent on the uplink. |
| LG Electronics | Proposal #6: Since the collision-free transmission is not guaranteed for the gap larger than 3us (i.e., SIFS), the maximum gap within a COT to allow COT sharing without LBT and the Cat-2 LBT should be defined even though they are not specified in the regulation. |
| MediaTek Inc. | Proposal 4: For COT sharing aspect in 60 GHz, support Alt 2. |
| Apple | *Proposal 10: Regulation does not define max gap duration in COT sharing without LBT. Since any gap is counted into 5ms COT, no gap limitation needs to be specified.* |
| Convida Wireless | *Proposal 3: For COT sharing consider Alt 3. Define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT.* |
| WILUS Inc. | *Proposal 3: We support Alt-1 since it seems that there is no need to define a maximum gap for COT sharing within the maximum COT duration from the ETSI regulation perspectives.* |

### First Round Discussion

Summary of Positions

Issue: Maximum gap before COT Sharing without LBT

* No Maximum Gap: Vivo, Spreadtrum, Ericsson, Nokia, ~~NEC~~, Apple, WILUS, Intel
* Define a max gap of Y before LBT recording: InterDigital, Motorola, CATT, ZTE, FUTUREWEI, OPPO, Qualcomm, LG, Convida, Intel, NEC

Proposal 2.4.1-1

On maximum gap within a COT to allow COT sharing without LBT, down-select or support both of the following two alternatives

* Alt 1. No maximum gap defined. A later transmission can share the COT without LBT with any gap within the maximum COT duration
* Alt 3. Define a maximum gap Y, such that a later transmission can share the COT without LBT only if the later transmission starts within Y from the end of the earlier transmission. If the later transmission starts after Y from the end of the earlier transmission, an one-shot LBT is needed to share the COT

Alt 3 is a use case for defining Cat 2 LBT procedure.

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| Company | View |
| vivo | Alt-1 is supported. According to the ETSI BRAN regulation, no maximum gap is specified. Therefore, we prefer not to impose additional constrains. |
| Charter Communications | Agree with vivo |
| Intel | We have added our support for both options, since we prefer to introduce both procedures (both Alt.1 and Alt.3). One-shot LBT should be used in a configurable manner up to gNB. When the one-shot LBT is not used, Alt.1 is used, which is consistent with the minimum requirements mandated by the ETSI BRAN. However, when one-shot LBT is configured, Alt-3 is used, and the concept of maximum gap could be used to discern the case when no-LBT or one-shot LBT is used. |
| OPPO | We support Alt-3 |
| NEC | We support defining a maximum gap Y, namely Alt 3, and fixed the typo in Summary of Positions. |
| Huawei/HiSilicon | We support Alt 1.  In our view, COT sharing for transmission(s) by a responding device as specified in the HS EN 302 567 does not require additional LBT within the COT. Furthermore, no requirement on a max gap between transmissions within the COT has been stated.  We could also consider Alt 3 if it has a majority support. |

## Cat 2 LBT

Agreement:

For Cat 2 LBT, down-select from the following alternatives

* Alt 1: Do not introduce Cat 2 LBT for 60GHz unlicensed band operation
* Alt 2: Introduce Cat 2 LBT for 60GHz unlicensed band operation

Agreement:

If Cat 2 LBT is introduced, the following use cases can be further studied:

* Resume transmission after a gap Y:  Cat 2 LBT may be used to resume transmission by the initiating device within the COT after a gap Y (FFS the value of Y)
* COT sharing: Cat 2 LBT may be used before transmission by a responding node sharing a COT
* Multi-Beam LBT:  Cat 2 LBT may be used before switching to a new transmission beam (not used in earlier part of the COT) in a COT with TDM beams, or resume a previously used transmission beam after a gap Z (FFS the value of Z)
* Rx-Assistance:  Cat 2 LBT may be used for sensing at the receiver as a responding device for Rx-Assistance measurements and associated signalling

Other use cases not precluded.

FFS if Cat 2 LBT is mandated for each use case or not.

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Proposal 20: Support introducing CAT2 LBT for the 60GHz unlicensed band operation.  Proposal 21: The following use cases of CAT2 LBT related to COT initiation should be prioritized in the discussion due to the low complexity and overhead of CAT2 LBT compared to eCCA: - Starting transmission on a secondary channel in Type B multi-channel access, if supported - Energy measurement and reporting of Rx-assistance information by the receiver in Rx-assisted LBT, if supported |
| vivo | Proposal 5: The Cat 2 LBT can be used before switching to a new beam in a COT with TDM beams, before response with assistant information at the receiver, and in the Type B multi-channel access scheme. |
| Spreadtrum Communications | Proposal 10: Cat 2 LBT should be supported for 60GHz unlicensed band operation.  Proposal 11: Cat 2 LBT may be used in case of directional LBT. |
| InterDigital Inc. | Proposal 19: Introduce CAT 2 LBT for 60GHz unlicensed band operation. |
| Sony | Proposal 4: Introduce Cat 2 LBT for 60 GHz unlicensed band operation |
| Samsung | Proposal 4: Support the following types of channel access procedures for 60 GHz unlicensed band: ·Type 1 channel access procedure without CWS adaptation; ·Type 2 channel access procedure with zero and positive fixed sensing duration. |
| CATT | Proposal 3: Cat 2 LBT should be introduced for 60GHz NR-U. |
|  | Proposal 12: Performing Cat 2 LBT before beam switching within the COT could be supported, and it can be decided by gNB. |
| ZTE Sanechips | Proposal 16: Cat 2 LBT should be supported at least for COT sharing case for NR above 52.6GHz. |
| Ericsson | Observation 24 Cat2 LBT is not specified in HS EN 302 567  Observation 25 Simulation studies show that there is no gain using Ca2 LBT compared to no LBT for the proposed used cases.  Observation 26 It is not precluded to do Cat2 LBT in addition to the Cat3 LBT requirements. There is no motivation to specify it in the 3GPP RAN1 standard.  Proposal 18 Do not specify Cat2 LBT for NR operation in 52.6 GHz to 71 GHz. |
| FUTUREWEI | Proposal 7: Introduce Cat 2 LBT for 60GHz unlicensed band operation. |
| Nokia, Nokia Shanghai Bell | Proposal 5: Decide on Cat-2 LBT support separately for gNB and UE.  Proposal 6: Decide on Cat-2 LBT support together with the specific Cat-2 LBT use case(s).  Proposal 7: Do not support Cat-2 LBT at the UE side.  Proposal 8: Do not support Cat-2 LBT at the gNB side.  Observation 5: Short contention window of [4] observation slots facilitates flexible LBT timing for SSB transmissions.  Observation 7: Use of LBT provides mostly loss in median throughput compared to no-LBT mode  Observation 8: Use of LBT reduces throughput for cell edge UEs  Observation 9: Simulation results do not show any gain from introduction of additional Cat-2 LBT at gNB beam switch during COT. |
| Charter Communications | Proposal 5: Do not introduce Cat 2 LBT for 60GHz unlicensed band operation. |
| NEC | Proposal 4: Cat 2 LBT for 60GHz unlicensed band operation should be introduced for resuming transmission by the initiating device within the COT after a gap Y.  Proposal 5: Cat 2 LBT for 60GHz unlicensed band operation should be introduced for COT sharing at least when transmission by responding node is transmitted after a gap Y.  Proposal 6: Cat 2 LBT for 60GHz unlicensed band operation should be introduced for channel sensing of receiver assistance measurements.  Proposal 7: Cat 2 LBT for 60GHz unlicensed band operation should be introduced for Type B multi-channel access. |
| CAICT | Proposal 6: Cat2 LBT should be studied and supported case-by-case. |
| OPPO | Proposal 11: introduce Cat-2 LBT with a sensing duration of 13us, which further consists of an 8us duration followed by a 5us sensing slot. |
| Qualcomm Incorporated | Proposal 10: Define Cat 2 LBT as sensing with X us duration. Suggested candidate values for X are 8 us or 13 us. The sensing structure can reuse Cat 4 LBT with n=0 or 1 respectively.  Proposal 11: Introduce Cat 2 LBT as an optional/configured and triggered component of COT Sharing, Multi-Beam LBT, and transmission with a gap. |
| Intel Corporation | Proposal 8: Cat-2 LBT is introduced for 60 GHz unlicensed band operation.  Proposal 9: Both Alt.1 and Alt.3 are supported, and it is up to the gNB on whether to mandate or not the use of LBT before attempting any transmission from any device within an initiating device’s acquired COT. |
| Apple | *Proposal 11: No CAT-2 LBT needs to be defined for COT sharing.* |
| NTT DOCOMO INC. | Proposal 2: Cat 2 LBT, i.e., LBT with fixed sensing duration, should be introduced for 60 GHz unlicensed band operation, at least to support COT sharing.   l  Other use cases can be studied further |
| WILUS Inc. | *Proposal 5: We support Alt-2 to introduce Cat 2 LBT for 60GHz unlicensed band operation.* |

### First Round Discussion

Summary of Positions:

* Alt 1: Do not introduce Cat 2 LBT in 60GHz
  + Support: Ericsson, Nokia, Charter, Apple
* Alt 2: Introduce Cat 2 LBT for 60GHz unlicensed band operation
  + Support: HW, Vivo, Spreadtrum, Sony, Samsung, CATT, ZTE, FUTUREWEI , NEC CAICT, OPPO, Qualcomm, Intel, DOCOMO, WILUS

Discussion 2.5.1-1:

Please provide your position if not captured in the above, and check if Alt 3 below can be considered as a compromise.

* Alt 1: Do not introduce Cat 2 LBT for 60GHz unlicensed band operation
* Alt 2: Introduce Cat 2 LBT for 60GHz unlicensed band operation for one or more of these use cases
  + A) Gap > X ms in a transmission
  + B) Gap > X ms for COT Sharing ( Cat 2 LBT is performed at the sharing node):
    - With a view towards NR unlicensed operations in other regions requiring sensing e.g. Japan
  + C) Before Beam Switching
  + D) For Rx -Assistance LBT
  + E) For Multi-Beam TDM COT
  + F) For Multi-channel (Type B) LBT based channel access
* Alt 3: Instead of introducing Cat 2 LBT, use a special Cat 4 LBT with n=[0 or 1] for one or more of the use cases summarized in Alt 2.

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| Company | View |
| vivo | The Cat 2 LBT should be supported for use cases C), D), E), F). Furthermore, we would like to know the difference between case C) and case E). |
| Charter Communications | Alt 1. A device can always perform Cat-3 LBT by implementation if it desires. |
| Intel | Definition/use of a different type of LBT, aka Cat-2 LBT, is preferred, but either Alt-2 or Alt-3 are also fine. As for the use case, we support B-C-D and E. |
| OPPO | We support Alt-2 |
| NEC | We support Alt 2 and corresponding use cases A), B), D) and F) at least, and be open to discuss the other cases. |
| Huawei, HiSilicon | We support Alt 2, at least for the use cases related to COT initiation such as D and F for which the benefit of replacing the eCCA procedure by a one-shot LBT is obvious. We are open to discuss other use cases as well if Alt 2 is agreed.  We do not support Alt 3, however, since CAT4 even with a deterministic number of observation slots cannot replace the one-shot LBT as in CAT2. This is due to the fact that the eCCA procedure is meant to be a persistent sensing procedure that continuously senses the channel for another deferral period if the channel is sensed to be busy. Even if n=0, channel is sensed persistently for as many deferral periods as in which channel is sensed busy until the channel is sensed idle in the last deferral period. |

## Rx Assistance

Agreement:

For receiver to provide assistance, channel sensing and reporting need to be performed. The following set of tools can be considered for further discussion

* Alt 1. Legacy RSSI measurement and reporting with possible enhancements
* Alt 2. AP-CSI report with possible enhancements
* Alt 3. LBT at receiver
  + Alt 3.1 eCCA
  + Alt 3.2 Cat2 LBT

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Observation 3：A COT initiated using receiver-assisted LBT is not limited to the maximum number of PDSCHs that can be scheduled by a single DCI. Subsequent scheduling PDCCHs and their respective PDSCHs can be further transmitted within the remaining MCOT duration to any of the UEs that reported idle channel. Observation 4：Receiver-only directional LBT saves the LBT overhead associated with the transmitter-side LBT of the receiver-assisted LBT mechanism and provides an efficient tradeoff as it aims at increasing the spatial reuse while mitigating the hidden node issue. Observation 8: Compared to No-LBT, substantial coverage gains are achieved using Receiver-assisted LBT/Receiver-only LBT in the indoor scenario, especially at medium and high traffic load. - Even higher gains are realized when wider beams are used for directional transmissions  Observation 9: For Receiver-assisted LBT/Receiver-only LBT, if a high EDT\_Rx threshold is used, the DL cell-edge performance degrades if only CTS/idle indication is fed back when interference level is lower than the EDT\_Rx threshold. Observation 5：Enhancements and specification effort required to introduce L1-RSSI on AP-CSI feedback are substantial compared to those required to introduce receiver assistance based on receiver-side LBT.  Proposal 22：For UE to provide receiver-assistance when gNB intends to transmit in the DL, consider the following Alt 3.1C in FL Proposal 2.6.3-1 from RAN1#105-e to clarify Alt 3.1 based on eCCA at the receiver: • Alt 3.1C: gNB schedules or triggers UL transmission (PUCCH, PUSCH, SRS etc) as CTS/Receiver-assistance information with the DL assignment DCI and indicating Cat 4 LBT in the DCI. UE performs Cat 4 LBT and if LBT passes, transmits the CTS/Receiver-assistance information to explicitly indicate the LBT outcome. gNB detects the CTS/Receiver-assistance information to identify if the UE passed Cat 4 LBT. After detecting the CTS/Receiver-assistance information, the data transmission happens  Proposal 23：For operation in the 60 GHz band, receiver-side LBT should be supported (Alt 3 in the agreement made in the RAN1#104-e). |
| vivo | Proposal 17: LBT at receiver is supported and Cat 2 LBT should be applied.  Proposal 18: PDCCH can be used to send the transmitter request, and PUCCH can be used to send the assistant information.  Proposal 19: Each transmitter request monitoring occasion corresponds to a receiver feedback transmission opportunity. |
| Spreadtrum Communications | Proposal 5: Regarding receiver assisted LBT, at least the method of Legacy RSSI measurement and reporting with possible enhancements (Alt 1) and the method of AP-CSI report with possible enhancements (Alt 2) should be supported for further study. |
| InterDigital Inc. | Observation 4: In a beam-based environment, LBT (omni-directional or directional) can fail to detect hidden nodes if the interference is only in the direction of the receiving node.  Proposal 5: Receiver assistance should be considered for both omni-directional and directional LBT.  Proposal 6: Directional receiver assistance is supported.  Proposal 7: A single directional receiver assistance process can be performed on a beam whose parameters are determined from the parameters of the Rx beam of one or more associated transmissions.  Proposal 8: To enable directional receiver assistance, support at least Alt 1 (Enhance legacy RSSI measurements) and Alt 2(AP-CSI reporting). |
| Sony | Observation 4: If per-beam LBT sensing is introduced, per beam COT indication may be needed.  Proposal 11: Receiver assisted LBT should be supported in 60 GHz unlicensed operation.  Observation 5: For RSSI measurement and reporting with possible enhancements, L1-RSSI carried in CSI needs to be considered.  Observation 6: For AP-CSI report with possible enhancements, fast and low complexity measurement/reporting may be required.  Observation 7: For LBT at receiver, PDCCH transmission corresponds to RTS-like signal and PUCCH corresponds to CTS-like signal.  Proposal 10: For reporting receiver assistance information, CSI reporting mechanism should be a baseline. |
| Lenovo Motorola Mobility | Observation 2: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, in order to adopt ATPC as potential channel access mechanism, receiver feedback such as long-term sensing would be needed  Observation 5: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, long-term channel sensing could be useful for both LBT and no-LBT based channel access mechanism:- For LBT based channel access mechanism, long-term sensing at the UE could be utilized for receiver assistance LBT at the gNB- For no LBT based channel access mechanisms, long-term sensing could provide interference statistics in terms of potential interference from WiFi as well as interference from other NR operators  Proposal 23: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, receiver assistance should be supported for both LBT and no-LBT based channel access mechanisms to avoid potential interference at the receiver.  Proposal 25: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, only class A receiver assistance should be supported where the assistance information is sent only to the transmitter.  Proposal 27: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, for receiver to provide assistance, channel sensing and reporting need to be performed and following enhancements to legacy RSSI measurements should be supported: - for long term sensing to measure interference statistics from WiFi systems or other NR operators, a new category of ZP CSI-RS should be supported where the UE is not expected to receive any channel/signal (including NZP CSI-RS for interference measurement) and only measure potential interference from WiFi nodes or other NR operators and report back corresponding measurements.  Proposal 28: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, for receiver to provide assistance, channel sensing and reporting need to be performed and eCCA should be supported as follows: - Signaling mechanism similar to RTS/CTS should be considered for receiver assistance o Short transmission using control channels (such as with 1-bit) or reference signals for before the actual transmission could be supported |
| Samsung | Proposal 11: Support dynamic RX-assistant channel access mechanism with handshake between transmitter and receiver: ·the channel access request is based on DCI and channel access response is based on UCI in a downlink scenario. ·the assistant information is based on CCA.  Proposal 12: Support RSSI measurement outside the active BWP and in non-serving cell. |
| CATT | Proposal 13：The receiver assistance channel access mechanism can be designed based on the A-CSI feedback framework. |
| ZTE Sanechips | Proposal 17: For receiver assisted channel access and interference management,   l If existing L1 and L3 measurement mechanism is supported to obtain assistance information, some enhancements may need to be considered for using the measurement results timely and effectively to guide the subsequent transmission.   l If LBT is supported to obtain assistance information, assistance information can be considered to be obtained within COT in addition to the beginning of COT.   n If Cat2 LBT is used for receiver, then Cat4 LBT should be used for transmitter to initiate a COT. |
| Fujitsu | Observation 1: For receiver assistance, what is concerned is L1 measurement and report. The three alternatives could be concluded as possible enhancements for the current CSI report with respect to quantity and content for CSI report, e.g. · For Alt 1 and Alt 2, L1-RSSI report is a possible enhancement for the current CSI report. · For Alt 3, indication of whether a LBT at the UE side is successful is a possible enhancement for the current CSI report. Proposal 1: For less standardization work, take the current CSI report as a starting point for further discussion on receiver assistance.  · FFS whether and how to support L1-RSSI report and indication of whether a LBT at the UE side is successful. Proposal 2: To reduce latency and signaling overhead of CSI report for receiver assistance, support AP-CSI report triggering directly by the DCI with DL grant, regardless of enhancements on quantity and content for CSI report. |
| Ericsson | Observation 18 Receiver assisted LBT does not show consistent performance improvement as compared to no LBT operation.  Observation 19 Receiver assistance LBT involves RTS/CTS-like handshaking in every data transfer procedure, which significantly increases data transfer latency, reduces spectrum efficiency and system capacity.  Observation 20 The standardization and implementation technical complexity and cost for receiver assistance LBT should not be under-estimated.  Observation 21 A new L1 report quantity of L1-RSSI can be introduced for UE to report interference level to gNB.  Observation 22 Enhancement to enable aperiodic CSI reporting to be triggered by DL DCIs and to be transmitted on PUCCH as being discussed in the URLLC WI can be reused to communicate receiver assistance information to gNB.  Observation 23 Current processing delay requirement for CSI reporting in NR can be reduced for L1-RSSI reporting, to make the receiver assistance mechanisms more efficient.  Proposal 15 Do not support receiver assisted LBT (Alt-3) in Rel-17.  Proposal 16 Support Alt-1 and Alt-2 for receiver assistance mechanisms that are based on the existing RSSI and CSI reporting and decoupled from data transmission procedure.  Proposal 17 The following enhancements on the current AP-CSI reporting can be considered to better support receiver assistance information reporting: |
| FUTUREWEI | Proposal 11: For receiver assisted LBT, support NR CSI-IM based reporting for the clear channel assessment at the receiver. |
| FUTUREWEI | Proposal 12: For receiver assisted LBT, the receiver shall report the resource availability prior to the transmission. The RSSI measurement definition may be extended to assess the resource availability, where the resources, type of measurement (for instance Cat2 LBT) shall be provided by the transmitter. |
| Nokia, Nokia Shanghai Bell | Proposal 30: Employ existing RSSI measurements and CSI reporting as the receiver assistance.  Proposal 31: Deprioritize introduction of new mechanisms for receiver assistance until more essential parts of the channel access solution have been agreed.  Observation 11: Any Rx assistance scheme should be configurable per UE, so that it could be used only with UEs frequently detecting high interference.  Observation 12: For any new Rx assistance schemes, UE processing time similar to PDSCH processing time (N1) or CSI computation time (N2/Z1Z2) should be considered when providing Rx assistance.  Observation 13: Rx assistance should not be limited to the beginning of COT only. |
| OPPO | Proposal 16: RTS-like signal can be carried in a PDCCH and CTS-like signal can be carried in a PUCCH. |
| Qualcomm Incorporated | Proposal 12: Beam Specific L1-RSSI measurement and reporting should be supported.  Proposal 13: Consider the use of RSSI compared to a configurable threshold as part of the L1-RSSI report  Proposal 14: Consider use of UL grant DCI for trigger of Beam Specific L1-RSSI measurement and reporting for enhanced AP-CSI in PUSCH.  Proposal 15: Consider use of PUCCH for sending Beam Specific L1-RSSI measurement and reporting for enhanced AP-CSI.  Proposal 16: Use Rel. 16 AP-CSI timelines as baseline for enhanced AP-CSI reporting with L1-RSSI and study further possible tightening of the timelines. |
| LG Electronics | Proposal #8: For the receiver to provide assistance, the feedback mechanisms already supported by the current specification (with possible enhancements) can be considered but it is not preferred introducing the additional or new mechanism (such as new RTS/CTS-like signalling). |
| Intel Corporation | Observation 2: Receiver-aided LBT is able to mitigate the issues introduced by directional LBT and offers a mean to better assess the correct level of interference at the receiver. |
| AT&T | Proposal 3:   • Receiver assistance in Rel. 17 is limited to measurement enhancements   • Message based schemes similar to RTS/CTS signalling can be addressed in a later release targeting Class B scenarios   • Hand shaking is not supported   • Transmission should be allowed before the receiver assistance is received   • Receiver assistance can equally be useful, and should be allowed, for the no-LBT mode of transmissions   • Receiver assistance is a fast, low complexity feedback mechanism to convey to the transmitter the interference environment at the receiver |
| Apple | *Proposal 13: Consider using omni and directional RSSI and channel occupancy report, including regions where LBT is not mandated.*  *Proposal 14: L1-RSSI can be used to part of AP-CSI enhancement.* |
| NTT DOCOMO INC. | Proposal 3: For Rx assistance, support Alt 1 (Legacy RSSI measurement and reporting with possible enhancements) and/or Alt 2 (AP-CSI report with possible enhancements):   l  Alt 1 with enhancements to consider beam-related aspects should be a starting point at least for the support of long-term Rx-assistance   l  Alt 2 should also be considered if the need of short-term Rx-assistance is observed |
| Xiaomi | *Proposal 4: Conditions about whether to enable/disable receiver assisted LBT can be studied.*  *Proposal 5: How to design a receiver assisted LBT with a simpler flow and little spec impact should be considered.*  *Proposal 6:* *For receiver to provide assistance, the Rx side can report its detected interference level periodically to Tx. And Tx can determine whether to occupy the channel based on the interference level values previously received from Rx side.* |
| Convida Wireless | *Proposal 8: Receiver assisted LBT and channel access should be supported in 52.6 GHz to 71 GHz.*  *Proposal 10: For receiver to provide assistance, the following can be further discussed: legacy RSSI measurement and reporting with possible enhancements, AP-CSI report with possible enhancements and LBT at receiver using eCCA or Cat2 LBT.* |

### First Round Discussion

For receiver to provide assistance, the following positions are collected

* Alt 1. Legacy RSSI measurement and reporting with possible enhancements
  + Support: Spreadtrum, InterDigital, CATT, ZTE, Fujitsu, Ericsson, Nokia, FUTUREWEI, NOKIA, Qualcomm, LG, ATT, DOCOMO
* Alt 2. AP-CSI report with possible enhancements
  + Support: Spreadtrum, InterDigital, CATT, ZTE, Fujitsu, Ericsson, Nokia, FUTUREWEI, NOKIA, Qualcomm, LG, ATT, DOCOMO
* Alt 3. LBT at receiver
  + eCCA based
  + CCA based
  + Support: HW, Vivo, Samsung, ZTE, FUTUERWEI, Intel, Xiaomi, Convida

Proposal 2.6.1-1

As a receiver assistance technique, introduce L1-RSSI measurement to be sent as part of an enhanced AP-CSI report

* FFS: Timeline of measurement, reporting and trigger
* FFS: Measurement configuration/resource of L1-RSSI
* FFS: ZP-CSI-RS based measurement
* FFS: Beam specific RSSI measurement and reporting
* FFS: What is included in the L1-RSSI report, such as the value of RSSI measurement, comparison outcome with Energy Detection threshold, etc
* FFS: CCA/eCCA based receiver assistance

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| Company | View |
| vivo | We think details such as timeline, measurement configuration etc. should be clarified before we make an agreement. We want to make sure that the enhancement is feasible for receiver assisted technique. |
| Charter Communications | Agreeable if this is the only Rx assistance technique that is introduced |
| Intel | We are generally OK with the proposal, but we would like to further discuss the details before making an agreement. |
| Huawei/HiSilicon | We cannot support this proposal.  It should be noted that introducing L1-RSSI would require defining a new measurement quantity in L1 along with designing and specifying its measurement configuration, resources, trigger and associated timelines. In particular, we cannot accept L1-RSSI measurement based on ZP CSI-RS. Similar to NR-U, if a L1-RSSI is defined, it should be based on energy measurement over the whole operating bandwidth.  Besides, the current AP-CSI reporting mechanism by itself needs several enhancements to resolve the issues listed below:   * An AP CSI-RS would have to be triggered first by each scheduling DL assignments for measurement, then followed by some processing delay before reporting CSI on PUCCH resources from all the candidate K UEs. * During such a processing time the UE needs to perform a more complex measurement procedure, e.g. including FFT due to the sparse nature of the CSI-RS measurement resource in the frequency domain. This is in contrast with the simple ED as part of LBT, * Based on the discussion on required synchronization accuracy in higher numerologies, CSI-RS detection is not immune to such requirement. However, energy detection as in receiver-side LBT does not nearly need such a level of timing accuracy. * As acknowledged by the proponents of enhancing the legacy AP-CSI mechanism, current processing delays for CSI reports in NR are rather long. Moreover, the latency between CSI-RS reception and CSI-RS report is a UE capability and it may be too long so that the reported CSI is not actually a representative of the experienced interference during the data reception. * Finally, in terms of specification effort, there is no advantage of AP CSI reporting on PUCCH as compared to LBT at the receiver since AP CSI reporting on PUCCH is not a legacy mechanism supported in Rel15/16. |

Discussion 2.6.1-2

For receiver to provide assistance Alt 3.1 (eCCA based) or Alt 3.2 (CCA based), when gNB is the initiating device (UE is providing assistance), what is your view on the schemes

* Alt 3.1A: gNB schedules or triggers UL transmission (PUCCH, PUSCH, SRS etc) with DCI and indicating CCA or eCCA in the DCI. UE performs CCA or eCCA for the scheduled UL transmission. gNB detects the scheduled UL transmission to tell if UE passes the CCA or eCCA
* Alt 3.1B: New RTS/CTS-like signaling introduced. gNB sends RTS-like signaling to UE. UE performs CCA or eCCA and if LBT passes, transmits CTS-like signaling to explicitly indicate the LBT outcome. gNB detects the CTS-like signaling to identify if the UE passed CCA or eCCA. After detecting the CTS-like signal, the data transmission happens

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| Company | View |
| vivo | We slightly prefer Alt 3.1B. However, it is not necessary to introduce new RTS/CTS-like signalling. The legacy DL grant, GC-PDCCH, etc. can be used to trigger the assistance information. And PUCCH or other UL signals/channels can be used to transmit the assistant information after a successful Cat 2 LBT. |
| Intel | We prefer Alt. 3.1.A and we would refrain from introducing new signalling. We believe that the RX assistance should be developed based on current NR framework. |
| OPPO | We are fine with Alt3.1A and Alt3.1B, we think either one can resolve the issue of hidden node. |
| Huawei, HiSilicon | First, we note that since this discussion addresses both Alt 3.1 (eCCA based) and Alt 3.2 (CCA based), which is a good approach in our view, it would be more appropriate to label the alternatives as Alt 3A and Alt 3B instead of Alt 3.1A and Alt 3.1B, respectively.  Second, Alt 3.1B is a closer mechanism to Receiver-assisted LBT than current Alt 3.1A. However, we note that the CTS/RTS may not be new signal/channels and could be similar to those described in Alt 3.1A.  For example, when the target transmission is DL and UE is the receiver, the scheduling DL assignment itself resembles an RTS and triggers the LBT at the UE and the UL transmission of PUCCH (as CTS/receiver-assistance information) or SRS (as idle indication CTS only). The UE transmits that triggered UL only after the LBT has passed. This does not require introducing a new DCI format unless there is a consensus to support as well performing the triggering separately from the DL scheduling, e.g., using a group common DCI, which can be discussed later on.  Therefore, a more accurate description in our view could be as suggested Alt 3C below:   * Alt 3C: gNB schedules or triggers UL transmission (PUCCH, ~~PUSCH,~~ SRS ~~etc)~~ as CTS/Receiver-assistance information with the DL assignment DCI and indicating CCA or eCCA in the DCI. UE performs CCA or eCCA for the scheduled UL transmission and if LBT passes, transmits the CTS/Receiver-assistance information to explicitly indicate the LBT outcome. gNB detects the scheduled UL transmission to tell if UE passes the CCA or eCCA. After detecting the CTS/Receiver-assistance information, the data transmission happens.   Note that setting the context of the discussion based on the target transmission direction provides more clarity than “gNB/UE is initiating device”. This is due to the fact that the DL assignment DCI could be transmitted, for instance, in a previous gNB/UE COT. |

Discussion 2.6.1-3

For receiver to provide assistance Alt 3.2 (CCA based), when gNB is the initiating device (UE is providing assistance), please provide your views on :

* Duration of CCA at the UE
* Procedure for channel access based on outcome of CCA
  + E.g. Procedure identified in Alt 3.1.A where Cat 2 LBT is used instead of Cat 4 LBT

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| Company | View |
| vivo | We prefer Cat 2 LBT at the UE side since it is not necessary to perform Cat 3 LBT (LBT with random back-off with a contention window of fixed size). The assistant information is usually very short and comparable to short control signalling. If a LBT is required for the transmission of the assistant information, Cat 2 LBT is enough. |
| Intel | Our view is that the procedure of Alt 3.1.A and 3.2 should be equivalent with the distinction that in Alt 3.1.A we perform eCCA and in Alt. 3.2 CCA is used, where the duration of the CCA could be as short as possible (preferably 8 us). |
| OPPO | We think Cat2 LBT is better than Cat 4 LBT.  The duration of CCA at UE can be 8 us or 8+5 us.  Regarding the procedure, we think Alt3.1A or Alt3.1B both can be considered. |
| Huawei, HiSilicon | In terms of the duration of CCA at the UE, it should be the duration of a one-shot LBT as in CAT2. Some reasonable values are 8us and 13us.  The procedure based on the outcome of CCA is rather similar to our clarified Alt 3C provided in the above discussion point.  The following example provides more details    For DL transmission, gNB performs CAT4 LBT to send DL assignments to K UEs out of M intra-cell UEs, e.g., based on the status of their respective buffers. As discussed in Section 2.3.3, this can be done using one sensing beam or multiple beams covering the transmission beams of the respective PDCCHs. Each DL assignment triggers an UL transmission of an idle indication (CTS) signal/channel on indicated resources upon a successful LBT by the intended receiving UE. The CTS could further include receiver-assistance information such as the interference level measured by the UE during LBT. In order to ensure no interference during PDSCH reception from other nodes, the UE could perform a directional LBT for a deterministic duration, i.e. CAT2 LBT in the direction of PDSCH reception as, e.g., indicated by PDCCH. As such, the gNB receives the CTS/receiver-assistance information from N (<=K) UEs to which it proceeds with the transmission of their respective PDSCHs. |

## Multi-Beam COT

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| Agreement:  For a COT with MU-MIMO (SDM) transmission, further consider the follow alternatives (down-select or support both)   * Alt 1: Single LBT sensing at the start of the COT with wide beam ‘cover’ all beams to be used in the COT with appropriate ED threshold * Alt 2: Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT   Agreement:  Within a COT with TDM of beams with beam switching, down-select one or more of the following LBT operations   * Alt 1: Single LBT sensing with wide beam ‘cover’ all beams to be used in the COT with appropriate ED threshold   + FFS: Details on the definition of "cover" * Alt 2: Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT * Alt 3: Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT with additional requirement on Cat 2 LBT before beam switch   Agreement:   * SSB transmission with LBT is supported, at least when the conditions for contention exempt short control signalling based SSB transmission is not met   + Note the channel access for SSB with LBT may not be different from a normal COT with multiple beams   + FFS: If any difference from a multi-beam COT LBT needs to be introduced   Agreement:  For a COT with MU-MIMO (SDM) transmission, when independent per-beam LBT sensing at the start of COT is performed for beams used in the COT (Alt 2 in earlier agreement) is considered, the following alternatives are further considered   * Alt A: The per-beam LBT for different beams is performed in TDM fashion   + Alt A-1: The node completes one eCCA on one beam, and directly move on to the eCCA on the other beam, with no transmission in the middle   + Alt A-2: The node completes one eCCA on one beam, start transmission with the beam to occupy the COT, then move on to the eCCA on the other beam   + Alt A-3: The node performs eCCA of the different beams simultaneous, round robin between different beams * Alt B: The per-beam LBT for different beams is performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams   Agreement:  Within a COT with TDM of beams with beam switching, when independent per-beam LBT sensing at the start of COT is performed for beams used in the COT (Alt 2 or Alt 3 in earlier agreement) is considered, the following alternatives are further considered   * Alt A: The per-beam LBT for different beams is performed one after another in time domain   + Alt A-1: The node completes one eCCA on one beam, and directly move on to the eCCA on the other beam, with no transmission in the middle   + Alt A-2: The node completes one eCCA on one beam, start transmission with the beam to occupy the COT, then move on to the eCCA on the other beam   + Alt A-3: The node performs eCCA of the different beams simultaneous, round robin between different beams * Alt B: The per-beam LBT for different beams is performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams |

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| Company | Key Proposals/Observations/Positions |
| Samsung | Proposal 9: Support directional channel sensing in multi-beam operation: ·For multi-beam SDM scenario, both Alt 1 and Alt 2 can be supported. ·For multi-beam TDM scenario, Alt 1 can be supported as baseline, and selection between Alt 2 and Alt 3 depends on whether sensing is required for switching beams within a COT.  Proposal 10: For per-beam LBT for different beams, ·Support both Alt A and Alt B, and up to implementation to choose between Alt A and Alt B. ·Within Alt A, support Alt A-1 as the baseline. |
| CATT | Proposal 9：Consider supporting both of single LBT sensing with wide beam and independent per-beam LBT sensing for all beams to be used within the COT at the start of the COT.  Proposal 10: If supporting Alt A-1 or Alt A-2, the ‘blocking issue’ (failure of previous beam LBT causes subsequent beams unable to perform LBT) should be addressed.  Proposal 11: Alt A-3 of which node performs eCCA round robin between different beams should be supported to increase the multi-beam LBT efficiency. |
| ZTE Sanechips | Proposal 13: Considering transmission opportunity and utilization of resource, Alt2 that “multiple per-beam LBT that cover multiple transmission beams used in COT” should be considered for the transmission with multiple beams in spatial domain multiplexing if directional LBT is supported.  Proposal 14: Considering LBT overhead and transmission delay, Alt B that“The per-beam LBT for different beams is performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams” should be considered for the transmission with multiple beams in spatial domain multiplexing if Alt 2 is supported.  Proposal 15: Considering transmission opportunity and unnecessary interference to other device that is going to transmit transmission, Alt-3 that “Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT with additional requirement on Cat 2 LBT before beam switch” can be considered for the transmission with multiple beams in time domain multiplexing, if directional LBT is supported.   l Considering LBT overhead and transmission delay, Alt B that“The per-beam LBT for different beams is performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams” should be considered if Alt-2 or Alt-3 is supported |
| Ericsson | Observation 17 All alternatives agreed to be considered for a COT with TDM and SDM of beams, depends solely on how directional LBT for a single beam would be specified.  Proposal 13 If any enhancements to better enable multiple beam transmissions within a COT when LBT mode is used can be agreed now, it is to support Alt 1 in principle for TDM and SDM case where a single LBT at the beginning of the COT is performed with the definition of “cover” meaning omni-directional or quasi-omni-directional. |
| FUTUREWEI | Proposal 9: When independent per-beam LBT sensing at the start of COT is performed for beams used in the COT, an additional requirement on Cat 2 LBT before switching to new beam during the COT should be specified if the time duration from that beam’s LBT sensing exceeds a threshold. |
| Nokia, Nokia Shanghai Bell | Proposal 19: COT initiating LBT with multiple independent per-beam LBT sensing should be deprioritised while completing the design for baseline channel access procedures.  Proposal 21: For a COT with MU-MIMO (SDM) transmission, support both Alt 1 and Alt 2.  Proposal 22: Within a COT with TDM of beams with beam switching, support both Alt 1 and Alt 2 for LBT operations.  Proposal 23: For a COT with MU-MIMO (SDM) transmission, support Alt B.  Proposal 24: Alt A-1 is modified as: The node completes one eCCA on one beam, and directly moves on to the eCCA on the other beam, with no transmission in the middle. After completing eCCA on all beams, a further round robin CCA check is carried out in all beams (except the last beam).  Proposal 25: Alt A-3 is modified as: The node performs eCCA of the different beams simultaneous, round robin between different beams.   • single contention window is shared by beams or each beam has a separate contention window.   • the last CCAs shall indicate vacant channel on all beams that are part of the COT  Observation 10: It is important to maintain flexibility of gNB implementation for multi-beam COT  Proposal 26: For a COT with TDM transmission, support the modified Alt A-1 and Alt A-3. |
| NEC | Proposal 8: For a COT with SDM transmission, when independent per-beam LBT sensing at the start of COT is performed and the node does not has the capability to simultaneously sense in different beams, at least the following LBT operations should be supported:   Ÿ The node performs eCCA of the different beams simultaneous, round robin between different beams.  Proposal 9: Within a COT with TDM of beams with beam switching, when independent per-beam LBT sensing at the start of COT is performed for beams used in the COT and the node does not has the capability to simultaneously sense in different beams , the following LBT operations should be supported:   • The node completes one eCCA on one beam, start transmission with the beam to occupy the COT, then move on to the eCCA on the other beam.   • The node performs eCCA of the different beams simultaneous, round robin between different beams. |
| CAICT | Proposal 7: Both single LBT sensing with wide beam and independent per-beam LBT sensing should be supported for COT with MU-MIMO transmission. Alt. B for per-beam LBT should be supported.  Proposal 8: For LBT within a COT with TDM of beams with beam switching, Alt 1 and 3 should be supported. |
| OPPO | Proposal 12: for COT containing multiple beams, including MU-MIMO (SDM) and TDM of beams, Alt A-2 is not supported. Alt A-1 and Alt A-3 can be left for implementation. |
| Qualcomm Incorporated | Proposal 18: For SDM transmission, support both (Alt1) single LBT sensing with wide beam covers all beams used in the COT and (Alt 2) independent per beam sensing.  Proposal 19: For a COT with MU-MIMO (SDM) transmission if independent per beam LBT is supported, and if the node has the capability to perform simultaneous sensing in different beams, simultaneous per-beam LBT for different beams is supported.  Proposal 20: Within a COT with TDM of beams with beam switching, if independent per beam LBT is supported, and if the node has the capability to perform simultaneous sensing in different beams, simultaneous per-beam LBT for different beams is supported.  Proposal 21: Within a COT with TDM of beams with beam switching, when independent per-beam LBT sensing at the start of COT is performed for beams used in the COT (Alt 2 or Alt 3 in earlier agreement is considered), select, Alt A-2, namely, the node completes one eCCA on one beam, start transmission with the beam to occupy the COT, then move on to the eCCA on the other beam.  Proposal 22: Within a COT with TDM of beams with beam switching, down-select to the following LBT operations   Alt A: Support both Alt-1 and Alt-2, where Alt-1 and Alt -2 are part of earlier agreement as follows:   ·         Alt 1: Single LBT sensing with wide beam ‘cover’ all beams to be used in the COT with appropriate ED threshold   o    FFS: Details on the definition of "cover”   Alt 2: Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT. |
| Panasonic | Proposal 1: Agree on Proposal 2.7.1-1 in Feature Lead Summary [1].  Proposal 2: Agree on Proposal 2.7.1-2 in Feature Lead Summary [1].  Proposal 3: Agree on Proposal 2.7.1-3 in Feature Lead Summary [1], and further select Alt B by recognizing that it is a valid use case for introducing Cat-2 LBT.  Proposal 4: Agree on Proposal 2.7.1-4 in Feature Lead Summary [1].  Proposal 5: Support A-1 and A-3 in the discussion 2.7.1-5 in Feature Lead Summary [1]. |
| LG Electronics | Proposal #13: For a COT with MU-MIMO (SDM) and TDM of beams transmission, adopt Alt A-1 (the node completes one eCCA on one beam, and directly move on to the eCCA on the other beam, with no transmission in the middle) when independent per-beam LBT sensing at the start of COT. |
| Intel Corporation | Proposal 10: For a COT with MU-MIMO, both Alt-1 and Alt-2 are supported. As for Alt-2 both Alt-A-2 and Alt-B could be considered.  Proposal 11: For a COT with beam switching, both single LBT sensing with wide beam and independent per-beam LBT sensing at the start of the COT are supported. |
| AT&T | Proposal 1:   • Within a COT with TDM of beams with beam switching, independent per-beam LBT sensing at the start of COT is performed for beams used in the COT with additional requirement on Cat 2 LBT before beam switch   • The per-beam LBT for different beams is performed one after another in time domain. The node completes one eCCA on one beam, and directly move on to the eCCA on the other beam, with no transmission in the middle |
| NTT DOCOMO INC. | Proposal 4:   l  For LBT initiating a COT with SDMed multiple transmissions, support a single LBT at the start of COT, covering all the SDMed beams.   l  For LBT initiating a COT with TDMed multiple transmissions, support independent per-beam LBT at the start of COT (Alt A-1) or at the start of transmission with changed beam within a COT (Alt A-2). |
| Xiaomi | *Proposal 7: Multi-beam transmission should be studied to fully take advantage of spatial diversity.*  *Proposal 8:* *Support independent per-beam LBT sensing at the start of COT* *for a COT with TDM of beams with beam switching.* |
| ITRI | *Proposal 2: For a COT with MU-MIMO (SDM) transmission, the per-beam LBT for different beams is performed simultaneously in parallel.*  *Proposal 3: For a COT with TDM transmission, the per-beam LBT for different beams is performed one after another in time domain.* |
| Convida Wireless | *Proposal 4: For a COT with MU-MIMO (SDM) transmission, support both single LBT sensing at the start of the COT with wide beam ‘cover’ all beams to be used in the COT with appropriate ED threshold and independent per-beam LBT sensing at the start of COT performed for beams used in the COT.*  *Proposal 5: Within a COT with TDM of beams with beam switching, support both single LBT sensing with wide beam ‘cover’ all beams and independent per-beam LBT sensing at the start of COT performed for beams used in the COT. Further discuss independent per-beam LBT sensing at the start of COT for beams used in the COT with additional requirement on Cat 2 LBT before beam switch.*  *Proposal 6: For a COT with MU-MIMO (SDM) transmission, consider both per-beam LBT for different beams performed in TDM fashion and per-beam LBT for different beams performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams.*  *Proposal 7: Within a COT with TDM of beams with beam switching, consider both per-beam LBT for different beams performed in TDM fashion and per-beam LBT for different beams performed simultaneously in parallel, assuming the node has the capability to simultaneously sense in different beams.* |

### First round discussion

Proposal 2.7.1-1

For a COT with MU-MIMO (SDM) transmission, support both Alt 1 and Alt 2 below:

* Alt 1: Single LBT sensing at the start of the COT with wide beam ‘cover’ all beams to be used in the COT with appropriate ED threshold
* Alt 2: Independent per-beam LBT sensing at the start of COT is performed for beams used in the COT

Summary of Positions:

* Support both Alt 1 and Alt 2: Samsung, CATT, FUTUREWEI, CAICT, Qualcomm, Intel
* Decide single beam sensing first, deprioritize independent per beam sensing: Ericsson, Nokia

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| --- | --- |
| Company | View |
| vivo | We support both Alt 1 and Alt 2. |
| Intel | As well summarized by the FL, we support both Alt.1 and Alt.2 and leave up to the device capability which alternative to use. |
| NEC | We support both Alt 1 and Alt 2. |

Proposal 2.7.1-2

For a COT with MU-MIMO (SDM) transmission if Alt 2 is supported (independent per beam LBT), and if the node has the capability to perform simultaneous sensing in different beams, simultaneous per-beam LBT for different beams is supported.

Summary of Positions as of RAN1-105e:

* Stable with wide support except Ericsson

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| Company | View |
| Intel | Ok with proposal |
|  |  |

Proposal 2.7.1-3

Within a COT with TDM of beams with beam switching, at least support Alt 1

* FFS: If Alt 2 or Alt 3 are additionally supported. The decision can be made after we decide if Cat 2 LBT is introduced

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| Company | View |
| vivo | We agree with proposal 2.7.1-3. Regarding the per-beam LBT, Alt 3 is preferred. A Cat 2 LBT is necessary since the channel for the newly switching beam has not been occupied during the past transmission with other Tx beams. |
| Intel | As mentioned above, we would prefer to leave up to the device capability which alternative to use, and we do not support agreeing on Alt.1 only. |
| NEC | We support moderator’s Proposal 2.7.1-3. |

Proposal 2.7.1-4

Within a COT with TDM of beams with beam switching, if Alt 2 or Alt 3 is supported (independent per beam LBT), and if the node has the capability to perform simultaneous sensing in different beams, simultaneous per-beam LBT for different beams is supported.

Summary of Positions as of RAN1-105e:

* Stable with wide support except Ericsson

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| --- | --- |
| Company | View |
| Intel | We are Ok with the proposal |
|  |  |

## Multi-Channel channel access

Agreement:

Define Type A and Type B multi-channel channel access as:

* Type A: Perform independent eCCA for each channel
* Type B: Identify a primary channel and perform eCCA on the primary channel, while perform Cat 2 LBT for other channels in the last observation slot

Down-selection between

* Alt1: Support Type A multi-channel channel access only
* Alt2: Support both Type A and Type B multi-channel channel access.

Note: How eCCA is performed on each channel, and the BW of the channels over which eCCAs are performed are separately discussed

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| Company | Key Proposals/Observations/Positions |
| Ericsson | Observation 10 ETSI regulation for 60 GHz bands do not support Type B multi-channel access.  *Proposal 5 Support Alt1 in the agreement that allows only Type A multi-channel access from 37.213.*  *Proposal 6 Do not support Type B multi-channel access for NR operation in 52.6 GHz to 71 GHz.* |
| Nokia, Nokia Shanghai Bell | Proposal 14: Only Type A multi-channel access procedure (i.e. Alt.1 defined in RAN1#104-e meeting) shall be supported in NR-U on 60GHz band. |
| CAICT | Proposal 9: Support both Type A and Type B multi-channel channel access. |
| Qualcomm Incorporated | Proposal 23: Adopt Alt-1 for multi-channel access, *i.e.* support Type A multi-channel access only. |
| WILUS Inc. | *Proposal 6: At least Type A multi-channel access which performs independent clear channel assessment (CCA) for each channel should be supported. For support of the Type B multi-channel access, it should be further discussed after the decision on support of Cat-2 LBT including the definition of Cat-2 LBT.* |

### First Round Discussion

Define Type A and Type B multi-channel channel access as:

* Type A: Perform independent eCCA for each channel
* Type B: Identify a primary channel and perform eCCA on the primary channel, while perform Cat 2 LBT for other channels in the last observation slot

Summary of Positions based on contribution proposals:

* Alt1: Support Type A multi-channel channel access only
  + Ericsson, Nokia, Qualcomm,
* Alt2: Support both Type A and Type B multi-channel channel access.
  + CAICT, WILUS (reconcile as a use-case of Cat 2 LBT)

Proposal 2.8.1-1:

Please provide your view below on Alt 1 or Alt 2 if not captured above:

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| --- | --- |
| Company | View |
| vivo | We support both Type A and Type B multi-channel channel access. |
| Intel | We support Alt.1 and added our preference above. While we support the introduction of Cat-2 LBT, we do not support type B since this violates ETSI BRAN rules. |

## Directional LBT

|  |  |
| --- | --- |
| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Proposal 12: For operation in the 60 GHz band, support FL Proposal 2.9.4-1 from RAN1#105-e to specify the spatial relation between the LBT beam and the transmission beam(s). |
| vivo | Proposal 16: The “cover” for sensing beam is defined as: the angle included in the [3] dB beam width of the transmission beam(s) is included in the [X] dB beam width of the sensing beam. |
| Spreadtrum Communications  Spreadtrum Communications | Proposal 2: The directional LBT should be supported in 60GHz unlicensed band.  Proposal 3: The relationship between all the LBT beams and the transmission beam should be defined and at least LBT beam “covers” the transmission beam.  Proposal 4: The beam correspondence framework or QCL/TCI framework can be extended to define “cover”. |
| InterDigital Inc. | Observation 1: Omni-directional LBT in unlicensed spectrum from 52.6GHz to 71GHz can under-represent interference in the direction of the associated transmission and over-represent interference in other directions.  Observation 2: Dynamic scenarios with some level of mobility increases the likelihood of transmitter-receiver pairs interfering with each other even when using narrowbeams.  Observation 3: Directional LBT provides benefits over no LBT at least for medium to high loads and especially for tail UEs, while reducing the drawbacks associated with omni-directional LBT.  Proposal 1: Directional LBT is specified in Rel-17.  Proposal 2: The relationship between the LBT beam and the transmission beam should be specified.  Proposal 3: A single directional LBT process can be performed on a beam whose parameters are determined from the parameters of the Tx beam of one or more associated transmissions.  Proposal 4: Support Alt 2 for the definition of the relationship between sensing beam(s) and transmission beam(s). |
| Sony | Proposal 5: Directional LBT should be supported in 60 GHz unlicensed operation.  Proposal 6: For definition of the relative relationship between applicable sensing beams and the transmission beam(s), extending the beam correspondence and/or QCL/TCI framework to define and/or indicate “cover” is considered from the RAN1 perspective. |
| Lenovo Motorola Mobility | Observation 4: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz with LBT based channel access mechanism, when directional LBT is applied, then performing LBT only at the transmitted side may not guarantee an interference-free reception due to hidden nodes to the transmitter  Proposal 3: For NR unlicensed bands between 52.6 GHz and 71 GHz, with directional LBT based channel access mechanism, configuration and/or indication of multiple sensing beams to UE should be specified for beam-based UL transmission  Proposal 4: For NR unlicensed bands between 52.6 GHz and 71 GHz, with directional LBT based channel access mechanism, explicit mapping between sensing beam(s) and UL transmit beam should be specified based on extension of TCI framework, where the association between the sensing and transmission beams can be configured based on the TCI association between to be: - One-to-one mapping between sensing beam and transmission beam - One sensing beam to many transmission beams mapping- Many sensing beams to one transmission mapping  Proposal 5: For NR unlicensed bands between 52.6 GHz and 71 GHz, with directional LBT based channel access mechanism, following two aspects should be specified:- Definition of cover could be such that the angle included in the [3] dB beamwidth of the transmission beam(s) is included in the [3] dB beamwidth of the sensing beam(s)- Indication/configuration of association between sensing beam(s) and transmission beam(s) according to extension of TCI framework  Proposal 6: For NR unlicensed bands between 52.6 GHz and 71 GHz, with directional LBT based channel access mechanism, for UL transmissions on CG resources, time-based autonomous switching of UL Tx beam should be supported, where the switching can be based on a timer within which the UE is expected to receiver HARQ-ACK feedback  Proposal 15: For NR unlicensed bands between 52.6 GHz and 71 GHz with directional LBT based channel access mechanism, within a COT, PDCCH monitoring is not supported in the CORESETs corresponding to other COTs (PDCCH monitoring restricted to monitoring corresponding to only one COT at a time)  Proposal 29: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, potential enhancements related to periodic transmission of DRS such as SSB/PBCH/CORESET#0 are needed including: - performing directional LBT prior to the transmission of SSB according to the ssb-PositionsInBurst - directional LBT on multiple beams at the same time at the beginning of the DRS window - Cat 2 LBT (depending on the gap) before actual transmission |
| Samsung | Proposal 8: ·Support extending the beam correspondence framework and/or QCL/TCI framework to define “cover” (Alt 2); ·Support a new type of QCL assumption to define the sensing beam covering the transmission beam. |
| ZTE Sanechips | Proposal 12: If directional LBT is supported, it is necessary to further define the relationship between sensing/receiving beam(s) and transmission beam(s):   l Under the assumption of channel reciprocity between transmission beam and sensing/receiving beam, sensing/receiving beam and transmission beam are actually equivalent.   l Without the assumption of channel reciprocity between transmission beam and sensing beam, when sensing beam (e.g., reception beam) is wider than the transmission beam and/or partially overlapping with each other, certain method need to be further considered, e.g.,extend SpatialRelationInfo/QCL/TCI framework to define the relationship between transmission beam and sensing/receiving beam. |
| Ericsson | Observation 13 Common understanding in ETSI and IEEE 802.11ad and IEEE 802.11ay specs are omni-directional LBT or quasi-omnidirectional LBT  Observation 14 Simulation studies in general indicate no significant gain from using directional LBT.  Observation 15 Directional LBT is currently not precluded in the existing regulations. EN 302 567¨s tests intrinsically ensure sensing beam is in the direction of the transmission beam for devices equipped with directional antenna systems.  Observation 16 Notion of “beams” for sensing/LBT is non-existent in 37.213.  Proposal 10 Support omni-directional LBT or quasi-omni-directional LBT as the baseline LBT procedure for 60 GHz band.  Proposal 11 Support Alt 1 (with FFS options) that have less RAN1 specification impact for specifying the relationship between sensing beam and transmission beam.  Proposal 12 Do not support Alt.2 on extending the beam correspondence framework and/or QCL/TCI framework to define “cover”.  Proposal 14 RAN1 needs to decide on whether and how to specify directional LBT for single sensing beam case before further discussing multiple sensing beams. |
| FUTUREWEI | Proposal 3: Consider cover relation based on the following relation between a sensing beam and each one of its intended transmit beams:   • The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak transmission beam EIRP. The sensing beam gain measured along the chosen directions is at least X [FFS] dB of the transmission beam gain in those directions. |
| Nokia, Nokia Shanghai Bell | Proposal 20: Leave the relationship between gNB LBT sensing beam(s) and transmission beam(s) to vendor-specific implementations. Vendors can use different beamforming techniques for their LBT procedures, as long as global or region and deployment specific requirements (i.e., ETSI EN 302 567) are fulfilled.  Observation 6: Generic requirements may be considered, e.g., that the beam(s) used in the LBT contain the transmission direction(s) intended to be used during the COT. However, that should be done in RAN4, not in RAN1. |
| NEC | Proposal 2: For LBT based channel access in mmWave unlicensed band, the relationship between LBT beam and transmission beam should be defined to reduce the complexity of channel access for different nodes. |
| OPPO | Proposal 7: consider using QCL/TCI framework to define ‘cover’. |
| Qualcomm Incorporated | Proposal 24: Adopt Alt 1 and specify requirement/test procedure to guarantee sensing beam “covers” the transmission beam.  Proposal 25: If Alt 1 is chosen, consider the following criterion for eligibility of sensing beam. The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak EIRP and the sensing beam gain measured along the chosen directions is at least X [FFS] dB of the transmission beam gain in those directions.  Proposal 26: If Alt 1 is chosen, consider the following criterion for eligibility of sensing beam. The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak EIRP and the sensing beam gain measured along the chosen directions is at least X [FFS] dB of the *sensing* beam gain in peak transmission directions. |
| LG Electronics | Proposal #7: The directional CCA and the receiver assisted LBT can be beneficial to increase cell coverage and spatial reuse, and whether or not the receiver assisted LBT can have an impact on specification except for indicating LBT type to responder should be first investigated.  Proposal #9: If the directional CCA procedure is introduced the followings points can be considered:   l  How to perform the CCA procedure for multiple-beam sweeping transmission   l  How to define CWS management (e.g., per-direction or across-direction management)   l  How to manage the back-off counter value  Proposal #10: The relationship between the LBT beam with a specific direction to acquire the COT and the transmission beam(s) allowed to transmit in that COT should be defined considering the relationship between the CCA range of the LBT beam and the interference range of the transmission beam(s).  Proposal #11: It would be beneficial for coexistence that channel occupancy acquired by directional LBT is shared only for DL and UL signals/channels having spatial QCL relationship.  Proposal #12: For the directional LBT, the relationship between the sensing beams and the transmission beam(s) can be defined by extending the beam correspondence framework and/or QCL/TCI framework. |
| Intel Corporation | Observation 1: Omni-directional LBT may act in many cases overprotectively and may prevent from fully exploiting spatial reuse under highly directional transmissions. This issue may be mitigated through directional LBT. However, directional sensing exacerbates the well-known hidden node issue, and leads to scenarios where the system could suffer from deafness.  Proposal 12: Both omni-directional and directional LBT are supported. When directional LBT is used, a receiver-aided LBT should complement its CCA procedure where a short LBT is performed at the receiver.  Proposal 13: When directional sensing is performed, the COT should be considered to be acquired only in the transmission beams for which the LBT is performed and the LBT measurements have indicated that the channel is idle.  Proposal 14: When directional sensing is performed, and multiple concurrent COTs are acquired, these should be independently treated unless LBT measurements have overlapping beams. In this case, RAN1 should define some rules on how to handle these cases.  Proposal 15: RAN1 should further study how to efficiently allow beam-pairing due to LBT success.  Proposal 16: For all devices operating in above 52.6 GHz unlicensed band the beam correspondence mandatory capability signaling is set to 1 for all supported unlicensed bands above 52.6 GHz.  Proposal 17: For gNB, RAN1 should leave the relationship between the received beams used for LBT measurements, and the transmit beam to be used after LBT success up to implementation and let regulatory requirements constrain it.  Proposal 18: For UE, RAN1 to define relationship between the received beams used for LBT measurements, and the transmit beam to be used after LBT success.  Proposal 19: RAN1 should extend the QCI or Spatial Relation Info framework to define and indicate the sensing beam associated with a transmission beam. FFS: Details on how to extend the beam correspondence framework and/or QCL/TCI/ Spatial Relation Info framework. |
| Apple | *Proposal 7: Extend the TCI framework to signal the COT directivity based on sensing directivity. COT directivity can be signaled in DCI format 2-0 for gNB initiated COT, and CG-UCI for UE initiated COT.* |
| Xiaomi | *Proposal 2: Both Omni-directional LBT and directional LBT should be supported.*  *Proposal 3: Alt 1 is supported to define the relationship between sensing beam(s) and the transmission beam(s).* |
| ITRI | *Proposal 1: In order to avoid resource wastage and hidden node problem, the LBT beam should be the same as the transmission beam.* |
| Convida Wireless | *Proposal 1: Both omni-directional LBT and directional LBT should be supported for frequency range of 52.6GHz to 71GHz.* |
| WILUS Inc. |  |

### First Round Discussion

Discussion 2.9.1-1

3GPP specification defines at least the relative relationship between all applicable sensing beam(s) and the transmission beam(s) to define sensing beam for LBT, where at least sensing beam(s) “covers” the transmission beam(s), considering following alternatives

* Alt 1: Specify necessary requirement/test procedure to guarantee sensing beam “covers” the transmission beam
  + FFS: This is handled in RAN1 and/or RAN4
  + [a] FFS: the angle included in the [3] dB beamwidth of the transmission beam is included in the [X, FFS] dB beamwidth of the sensing beam.
  + [b] FFS: the sensing beam gain measured along the direction of peak transmission direction is at least X [FFS] dB of the transmission beam gain
  + [c] FFS: The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak transmission beam gain. the sensing beam gain measured along the chosen directions is at least X [FFS] dB of the transmission beam gain in those directions.
  + [d] FFS: Sensing beam has the minimum [3]dB beamwidth which at least contains all beam peak directions of transmission beams
  + Other mechanisms not precluded
* Alt 2. Extending the beam correspondence framework and/or QCL/TCI/SpatialRelationInfo framework to define “cover” and to indicate sensing beam(s) associated with a transmission beam(s)
  + FFS: Details on how to extend the beam correspondence framework and/or QCL/TCI/ SpatialRelationInfo framework

Summary of Positions:

* Companies that support primarily Alt 1 approach:
  + Vivo, Ericsson, FUTUREWEI, Qualcomm, Xiaomi, Nokia,
  + Concern: Vivo: Specifying ‘Requirements/Test Procedures’ not sufficient
* Companies that support Alt 2 approach:
  + Spreadtrum, InterDigital, Sony, Leveno, Samsung, ZTE, OPPO, LG, Intel, Apple
* For gNBs, leave the issue to implementation: Nokia, Lenovo

For decision between alt 1 and 2, we will need some better understanding on what exactly they mean. The following discussions are meant to clarify the justifications for undertaking each approach and go to next level of detail in the understanding.

Discussion 2.9.1-2

For companies that support Alt-1: If Alt 1 is chosen, consider the following modified set of options for eligibility of sensing beam for transmission beams

* Alt-1-A: the angle included in the [3] dB beamwidth of the transmission beam is included in the [X, FFS] dB beamwidth of the sensing beam.
* Alt-1-B: the sensing beam gain measured along the direction of peak transmission direction is at least X [FFS] dB of the transmission beam gain
* Alt-1-C: The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak transmission beam gain. the sensing beam gain measured along the chosen directions is at least X [FFS] dB of the transmission beam gain in those directions.
* Alt-1-D: The sensing beam gain is measured in one or more directions where the transmission beam EIRP is within A [FFS] dB of the peak EIRP and the sensing beam gain measured along the chosen directions is at least X [FFS] dB of the sensing beam gain in peak transmission directions.
* Alt-1-E: Sensing beam has the minimum [3] dB beamwidth which at least contains all beam peak directions of transmission beams. [ Alt-1-E is a special case of Alt-1-D where A=0 dB and X=3dB].

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| Company | View |
| vivo | Alt-1-A is preferred. |
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Discussion 2.9.1-3

For companies that support Alt-2: Beam Correspondence notion describes the UE capability to identify an uplink transmission beam with a DL reception beam without UL beam sweep. Please provide your view on the following questions.

1. Do we require beam correspondence capability to support directional LBT? What happens if there is no beam correspondence.
2. Assuming analogous beam correspondence on gNB side, what would be the way to describe relationship for sensing and transmission beams.
3. Assuming beam correspondence on UE side, what would be the way to describe relationship for sensing and transmission beams

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| Company | View |
| Intel | Our view in this matter is that the beam correspondence mandatory capability signalling should be set to 1 for the unlicensed operation in 60GHz.  As for the gNB, our view is that the relationship could be left up to implementation and let regulatory requirements constraint it. However, for the UE RAN1 should define a relationship between sensing and transmit beam, which could be defined by extending either the QCI or the Spatial Relation Info framework. |
| OPPO | 1. Beam correspondence can be assumed. 2. We don’t need to describe the relationship for gNB, it is up to network implementation. 3. The relationship is that the sensing beam and transmission beam are QCL’ed with a same reference signal, e.g. the sensing beam is QCL’ed with SSB1 meaning that UE uses a same RX filter for sensing as it receives the SSB1. The transmission beam is QCL’ed with SSB1 is similar to what we have in PUCCH-SpatialRelationInfo IE in R15/R16. |

Discussion 2.9.1-4

For companies that support Alt -2: Extending notions of QCL/TCI states for relating transmission beams with sensing beams, is primarily motivated by signaling considerations and capability considerations.

Please provide your view on the following questions.

1. QCL relationship and TCI states relate two reference signals in the same direction (e.g. SSB and CSI-RS). What is the envisioned way to extend it to describe the relationship between transmission beam and sensing beam. Assuming ‘beam correspondence’ on gNB side, are the following statements accurate?

A1. For a beam corresponding to TCI state A, the gNB can use the same beam for sensing and transmission

A2. If TCI B is used as QCL source (Type D) for TCI A, then gNB transmission beam corresponding to TCI B can be used as the sensing beam for transmission with TCI A.

A3. If TCI C is NOT used as QCL source (Type D) for TCI A, then gNB cannot use the transmission beam corresponds to TCI C as the sensing beam for transmission with TCI A.

1. How and if to support sensing with a beam without corresponding RS sent? For example, how to use quasi-Omni beam for sensing if there is no SSB transmitted with quasi-omni beam.

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| Company | View |
| Intel | A2 is preferred.  As for Question B, this would be left up to UE implementation if we use QCL framework, as the QCL framework does not preclude UE to use different set of Rx beams entirely. The QCl type D indication only lets the UE know same Rx beams can be used to measurement/reception for two pair of RS (source and target). As to how UE formulate the Rx beam such that it can receive the signal well is somewhat left up to UE implementation.  In case spatial relation info framework is leveraged, UE must use a specific beam for LBT measurements, and therefore it would not be able to use quasi-omni beam unless it was used for uplink transmission as well.  So there would be some trade-off on which framework to leverage for the UE directional LBT design. |
| OPPO | We think a simply way is to describe the beam correspondence is to set transmission beam and sensing beam (receiver beam) to be QCL’ed with a same reference signal. |

Discussion 2.9.1-5

For companies that support Alt -2: Regarding extending the notions of QCL/TCI states for relating transmission beams with sensing beams for UEs, please provide your view on the following question.

1. Assuming beam correspondence at the UE, if the UE is indicated to transmit with a beam corresponding to a certain SRI, the UE can use the same beam for sensing
2. Assuming beam correspondence at the UE and assuming Rel.17 unified TCI framework, if the UE is indicated to transmit with a beam corresponding to a certain unified TCI, the UE can use the reception beam corresponds to the TCI for sensing
3. Assuming beam correspondence at the UE, how can a wider sensing beam be identified to be used for a narrower transmission beam under QCL/TCI framework

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| Company | View |
| Intel | (A) and (B) are somewhat alternatives. We think we should pick either (A) spatial relation info framework or (B) QCL framework for directional LBT.  As for question (C), this would depend on whether state UE should use the same spatial filter for LBT measurement as the transmission spatial filter for uplink channel/signal (which is more aligned with (A)) or we state UE may assume same QCL type D assumption for LBT measurement as some source reference signal (which is more aligned with (B)).  For spatial filter assumption approach, there would be no possibility for the UE to use wide sensing beam. It would only simply follow gNB scheduling. For the QCL framework, we think it is still possible for the UE to use wide beam, as long UE has sufficient confidence that by using wider beam it is still able to capture the signal well as QCL does not necessarily restrict how the UE performs Rx beam selection. The QCL would simply provide guidance on the general directivity of the signal such that UE knows to make sure it needs to capture energy from that direction. |
| OPPO | 1. Agree 2. Agree 3. For this case, sensing beam and transmission beam can be QCL’ed with different RS, e.g. sensing beam is QCL’ed with SSB beam, and transmission beam is QCL’ed with CSI-RS beam. |

Discussion 2.9.1-6

For companies that support Alt -2: Please provide your views on how to extend the notions of QCL/TCI and beam correspondence for relating transmission beams with sensing beams to UEs for:

1. Single sensing beam for single transmission beam in a COT
2. Single sensing beam for multiple transmission beams in a COT
3. Independent per beam LBT

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| Company | View |
| Intel | Prefer to support only case a) since we envision defining this relationship only from the UE’s point of view where a single transmit beam is used. |
| OPPO | a/c) We can use discussion 2.9.1-5 A) or B)  b) We can use discussion 2.9.1-5 C), where single sensing beam is a wider beam and multiple transmission beams are narrow beam |

## No LBT

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| Agreement:  For regions where LBT is not mandated, gNB should indicate to the UE this gNB-UE connection is operating in LBT mode or no-LBT mode   * Support both cell specific (common for all UEs in a cell as part of system information or dedicated RRC signalling or both) and UE specific (can be different for different UEs in a cell as part of UE-specific RRC configuration) gNB indication |

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Proposal 25: For operation in the 60 GHz band, in regions where LBT is not mandated, indication of the decision on applying LBT mode or no-LBT mode per beam is not supported. Proposal 26: For operation in the 60 GHz band, in regions where LBT is not mandated, indication of the decision on applying LBT mode or no-LBT mode using L1 signaling is not supported. Proposal 27: For operation in the 60 GHz band, in regions where LBT is not mandated, the serving cell may enable Rx-side LBT using a higher layer configuration to mitigate high levels of interference experienced from hidden nodes.  Observation 6: When network allows enabling/disabling the LBT mode, coexistence issues would arise as the performance of the nodes operating with LBT mode would be adversely impacted by the nodes operating with No-LBT on the channel without a time limit . Proposal 28: For operation in the 60 GHz band, in regions where LBT is not mandated, COT should be limited when No–LBT is used. |
| vivo | Proposal 20: Per-beam based channel access mode indication is not necessary.  Proposal 21: The channel access mode can be selected based on the channel occupancy time, channel access rate, transmission priority, service requirement, or feedback information from the receiver, etc. |
| InterDigital Inc. | Proposal 9: The UE receives indication of the channel access mode (omni-directional, directional, receiver assistance, no LBT) from the gNB.  Proposal 10: The indication of channel access mode is received per cell and per beam.  Proposal 11: L1 signaling can be used for UE specific indication, at least for initial access. |
| Sony | Observation 1: In EU, no-LBT mode cannot be operated at least under the ‘C1’ mode for indoor and outdoor deployment.  Observation 2: No-LBT mode works in the uncongested environment.  Observation 3: Congestion could be measured by average RSSI and channel occupancy which have already been introduced in NR-U.  Proposal 1: No-LBT mode is configured by the network based on measurement results of RSSI and channel occupancy. |
| Lenovo Motorola Mobility | Proposal 22: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, UE assistance information to indicate whether and which UL Tx beams can be used with no-LBT mode as initiating and/or responding device should be supported |
| Samsung | Proposal 1: For regions where LBT is not mandated, ·the cell-specific indication is a group of mode pairs, wherein each mode pair defines the modes of gNB and UE for a particular beam; ·the UE-specific indication is a mode pair; ·gNB determines its operation mode up to implementation. |
| CATT | Proposal 1: During the initial access procedure before RRC\_CONNETED state, the LBT/No-LBT mode indication can be transmitted by MIB or reserved bits in DCI format 1\_0 scrambled by SI-RNTI. |
| ZTE Sanechips | Observation 8: No LBT should be workable only if some interference elimination mechanisms are applied on top of it. If no LBT is supported, the spec impact of introducing such enhancement should be further studied and evaluated.  Proposal 10: Similar restriction as defined in Type 2C channel access procedure in TS 37.213 can also introduced in above 52.6GHz NR-U frequency band but the length of a transmission can be relaxed.  Proposal 11: Conditions for No LBT fallback to LBT should be further studied, e.g., based on the interference level or correctly decoding rate. |
| Ericsson | Proposal 24 Cell-specific system information indication of LBT ON/OFF is included in SIB1. i. Define same DCI\_1\_0 sizes for both licensed and unlicensed operation |
| FUTUREWEI | Proposal 13: For regions where LBT is not mandated, indication of UE specific per-beam LBT/no-LBT indication from the gNB is not supported.  Proposal 14: In deployments without LBT consider specification of channel vacation policies accounting for disparity among co-existing devices. |
| Nokia, Nokia Shanghai Bell | Proposal 29: UEs without LBT functionality are supported.  Observation 14: Channel access mechanism without LBT should fulfil the expected requirements of EN 303 722 but also possibly EN 303 753.  Observation 15: NR for 60 GHz band shall be able to fulfil the EN 303 722 requirements for spectrum sharing based on automatic transmit power control and/or automatic link adaptation.  Proposal 32: Leave any additional conditions/mechanisms/restriction/fallback modes on the no-LBT channel access mode for gNB implementation.  Proposal 32: Leave any additional conditions/mechanisms/restriction/fallback modes on the no-LBT channel access mode for gNB implementation. |
| NEC | Observation 1: Based on long term measurement, the channel assessment in statistic could be considered to determine or switch the operation mode.  Proposal 10: For regions where LBT is not mandated, the mechanism and conditions for LBT mode and no-LBT mode switching should be specified to simplify the system implement. |
| OPPO | Proposal 8: support gNB and UE having different modes.  Proposal 9: support LBT mode per beam indication. |
| Qualcomm Incorporated | Proposal 27: Do not support per beam indication of the decision on applying LBT mode or no-LBT mode. |
| LG Electronics | Proposal #1: For regions where LBT is not mandated, the mechanism for switching between the no-LBT mode and LBT mode should be supported and specified at least for UL, and the channel access mode switching between no-LBT mode and LBT mode can be determined e.g., based on the consecutive decoding success or failure or interference measurement. |
| Apple | *Proposal 12: 1 bit in DCI to indicate whether eCCA or no LBT before UL transmission. No CP extension is needed.* |
| Convida Wireless | *Proposal 2: Adaptation for LBT modes and LBT sub-modes for system performance optimization should be considered.* |

### First Round Discussion

Discussion 2.10.1-1

If UE specific gNB indication on using LBT mode or no-LBT mode is adopted, please provide your view whether the indication of the decision on applying LBT mode or no-LBT mode is per beam (can be different for different UEs in different beams or can be different for different beam pairs between gNB and the UE) or not

* Support per beam indication of the decision on applying LBT mode or no-LBT mode
* Do not support per beam indication of the decision on applying LBT mode or no-LBT mode:

Summary of current positions:

* Support Per Beam indication: InterDigital, Lenovo (for UE), Samsung (gNB and UE), OPPO, NEC
* Do not support per beam indication: Huawei, Vivo, Qualcomm, FUTUREWEI

Please provide your view if not already captured above

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| --- | --- |
| Company | View |
| vivo | The beam pair link quality is changing due to UE moving or rotation. In general, TCI states are updated dynamically based on beam report, e.g. the gNB activates a set of TCI states via MAC CE or indicates TCI state by DCI. Therefore, per-beam channel mode indication by RRC will not adapt to the change of the TCI state. |
| Charter Communications | Do not support per beam indication |
| Intel | We have updated our preference, and we do not see the need to support this indication in terms of beams. |
| NEC | We updated our preference of supporting per beam indication. |

Discussion 2.10.1-2

For regions where LBT is not mandated, please provide your view if L1 signalling is be introduced for gNB to indicate to the UE if the operation is in LBT mode or no-LBT mode. Note this is different from the DCI field indicate the LBT type for UL transmission.

Summary of current positions:

* L1 Signaling for No-LBT mode should be supported: InterDigital, CATT, Apple
* L1 Signaling for No-LBT mode should not be supported: Huawei, Intel

Please provide your view if not already captured above

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| Company | View |
| vivo | We are ok to support L1 signalling if clear motivation or benefit can be provided. |
| Charter Communications | No L1 signaling is needed |
| Intel | We have updated our preference, and we do not support L1 signalling for this purpose. |
| OPPO | Following legacy design principle, where gNB can indicate the UE to omit LBT. |

## Short Control Signaling and Contention Exempt Transmission

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| Agreement:   * Contention Exempt Short Control Signaling rules can be applicable to the transmission of SS/PBCH.   + FFS: What are the other DL signals and channels that can be multiplexed with SS/PBCH transmission under Contention Exempt Short Control Signaling rule   + FFS: Whether this can be applied to all supported SCS or specific SCS.   + FFS: Extension to discovery burst if it is defined including signals other than SS/PBCH   + Note: Restriction for short control signalling transmissions apply (10% over any 100ms interval) * FFS: Other DL signals/channels can be transmitted with Contention Exempt Short Control Signaling rule, such as PDCCH, broadcast PDSCH, PDSCH without user plain data, CSI-RS, PRS, etc   Agreement:  For contention exemption short control signalling based DL transmission of SS/PBCH, further consider if the following signals/channels can be multiplexed with SS/PBCH block transmission.   * RMSI PDCCH and RMSI PDSCH * Other broadcast PDSCH * PDSCH without user-plane data * PDCCH * CSI-RS * PRS * Other signals/channels contained in Discovery Burst (i.e., exemption applies to Discovery Burst)   Note: Total exempted signals/channels should meet the restriction of 10% over any 100ms interval.  FFS: If contention exemption short control signalling based DL transmission is allowed when not multiplexed with SS/PBCH block transmission. |

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| Agreement:   * Contention Exempt Short Control Signaling rules apply to the transmission of msg1 for the 4 step RACH and MsgA for the 2-step RACH for all supported SCS.   + Note restriction for short control signalling transmissions apply (10% over any 100ms intervals)   + Alt 1: The 10% over any 100ms interval restriction is applicable to all available msg1/msgA resources configured (not limited to the resources actually used) in a cell   + Alt 2: The 10% over any 100ms interval restriction is applicable to the msg1/msgA transmission from one UE perspective * FFS: Other UL signals/channels can be transmitted with Contention Exempt Short Control Signaling rule, such as msg3, SRS, PUCCH, PUSCH without user plain data, etc |

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| Company | Key Proposals/Observations/Positions |
| Huawei HiSilicon | Proposal 29: In regions where LBT is mandated, only channels/signals that can be multiplexed within the DB as defined for Rel-16 NR-U should be supported for contention exemption short control signaling based DL transmission. Proposal 30: In regions where LBT is mandated, contention-exempt short control signaling rules apply to the transmission of msg1 for 4 step RACH and msgA for 2-step RACH such that the 10% over any 100ms interval restriction is applicable to all available msg1/msgA resources configured in a cell (Alt 1). Proposal 31: In regions where LBT is mandated, contention-exempt short control signaling based transmission is not supported for UL signals/channels other than msg1/msgA. Observation 7: When No-LBT is used in regions where LBT is not mandated by regulations, the hidden node issue would still persist. |
| vivo | Proposal 22: The contention exempt short control signaling can be extended to discovery burst with duration at most 1ms.  Proposal 23: The contention exempt short control signaling based SS/PBCH can be multiplexed with RMSI PDCCH, RMSI PDSCH and CSI-RS.  Proposal 24: The 10% over any 100ms interval restriction is applicable to the msg1/msgA transmission from one UE perspective. |
| Sony | Proposal 2: Contention exempt short control signalling should be adopted for transmission of RMSI PDCCH, RMSI PDSCH, and/or CSI-RS contained in Discovery Burst. |
| Samsung | Proposal 7: For “short control signalling”: ·support at least discovery burst as part of the short control signalling; ·support limitation on the duty cycle to use “short control signalling”, wherein the duty cycle are defined from the perspective of a node. |
| CATT | Proposal 14: The 10% over any 100ms interval restriction should be applicable to all Contention Exempt Short Control Signals from cell perspective.  Proposal 15: For UL signal, the Contention Exempt Short Control Signaling rules can be applied to the PUCCH and PUSCH without user plane-data.  Proposal 16: The Contention Exempt Short Control Signaling can be applied to any signaling without user-plane data multiplexed with SS/PBCH block transmission.  Observation 1: When the periodicity of SS/PBCH block is 20msec and the number of SSB beams is 64, the total duration of SSB transmission is more than 10% within 100ms.  Proposal 17: In order to meet the rule of less than 10% duty cycle within 100ms, the Contention Exempt Short Signaling rules shall be applied to limited number of SSB beams for 120 kHz SCS. |
| ZTE Sanechips | Observation 2: Other channel/signal is allowed to be multiplexed with a channel/signal that has been regarded as Short Control Signalling only if their total transmission time does not exceed 10ms limitation within 100ms observation period.  Observation 3: If channel(s)/signal(s) is not regarded as Short Control Signalling and not multiplexed with any Short Control Signalling, it is a natural way that such channel(s)/signal(s) cannot apply Contention Exempt Short Control Signaling rule.  Observation 4:   l For 120 kHz SCS SS/PBCH, transmitted 64 SS/PBCH with 20ms SS/PBCH period exceeds 10ms limitation within a 100ms observation period required for short control signalling.   l For larger SCS (e.g., 240/480/960kHz) SS/PBCH, transmitted 64 SS/PBCH with 20ms SS/PBCH period does not exceed 10ms limitation within a 100ms observation period required for short control signalling.  Observation 5: As long as total time corresponding to all available UL resources that be used to transmit Short Control Signalling (e.g., Msg1/Msg A/potential Msg 3 ) meets 10ms limitation within a 100ms observation period, Contention Exempt Short Control Signaling rule can be applied.   Another issue on the situation that the transmission of DL/UL channels/signals considered as Short Control Signalling exceeds 10ms limitation, we think it is a natural way to switch from No LBT mode to LBT mode.  Observation 6: Once the transmission of DL/UL channels/signals considered as Short Control Signalling exceeds 10ms limitation, it is a nature way to switch from No LBT mode to LBT mode.  Besides, if the transmission of DL/UL channels/signals considered as Short Control Signalling is in a COT initiated by gNB or UE and LBT is performed before Short Control Signalling transmission, in our understanding, it should not be counted into 10ms limitation within the 100ms observation period.   Observation 7: For the case of the transmission of DL/UL channels/signals considered as Short Control Signalling is in a COT initiated by gNB or UE and LBT is performed before Short Control Signalling transmission, it is suggested that such transmission should not be counted into 10ms limitation within the 100ms observation period. |
| Ericsson | Observation 11 In HS EN 302 567, SCS transmissions have a duty cycle requirement but no limitations on the number of SCS transmissions within the observation period.  *Proposal 7 Support extending the Short control signalling transmissions exemption to Discovery Burst.*  *Proposal 8 Support Alt2 in which the short control signalling transmissions requirement of 10ms over 100ms duration is applicable to control and management transmissions from a single UE perspective*  *Proposal 9 Consistent with EN 302 567, a node can access the channel without LBT for control signal/channel transmissions, the total duration of which shall not exceed 10 ms within an observation period of 100ms. The following signals/channels shall be classified as short control signaling transmissions:*  1 msg3 for the 4 step RACH and MsgB for the 2-step RACH |
| FUTUREWEI | Proposal 10: The 10% over any 100ms interval restriction is applicable to all available msg1/msgA resources configured (not limited to the resources actually used) in a cell. |
| Nokia, Nokia Shanghai Bell | Observation 4: EN 302 567, v2.2.0 allows for Short Control Signalling transmissions for up to 10% of time within an observation period of 100 ms.  Proposal 15: NR-U design for 60 GHz bands supports transmission of the following DL and UL control and management signals as short control signalling without LBT:   • Downlink: SS/PBCH blocks (already agreed), PDCCH, CSI-RS and other reference signals, e.g., for beam management, SIBs, Paging   • Uplink: HARQ-ACK feedback on either PUCCH or PUSCH, Scheduling Request, CSI feedback, Sounding RS, e.g., for beam management, RACH related transmissions  Proposal 16: For the UL transmissions, the 10% short control signaling allowance is shared by all the UEs in the cell.  Proposal 17: One-shot LBT within COT is not required before gNB beam switch between SSBs.  Proposal 18: Use of short control signal contention exemption and use of LBT for SSBs is predetermined or semi-statically determined, distributing the channel access uncertainty over the SSBs. |
| OPPO | Proposal 13: PUCCH carrying HARQ-ACK information belong to short control signaling.  Proposal 14: msg3, SRS, and PUSCH without user plain data should not belong to short control signaling.  Proposal 15: restriction for short control signalling transmissions is applicable to all available msg1/msgA resources configured in a cell. |
| Qualcomm Incorporated | Proposal 28: Support Alt 2. Contention Exempt Short Control Signaling rules apply to the transmission of msg1 for the 4 step RACH and msgA for the 2-step RACH for all supported SCS. The 10% over any 100ms interval restriction is applicable from the perspective of the UE in accordance with per device requirement set by regulation.  Proposal 29: SRS should be included towards contention exempt transmissions.  Proposal 30: PUCCH should be included towards contention exempt transmissions.  Proposal 31: PUSCH without user plane data, such as CSI or Ack/Nack, and msg3 should be included towards contention exempt transmissions.  Proposal 32: Under the restrictions of duty cycle for short control signaling, allow SS/PBCH, PDCCH, CSI-RS and PRS for contention exempt transmission. |
| LG Electronics | Observation #1: The interpretation of regulation for 10% over any 100ms interval restitution from one UE perspective (Alt-2) is likely to cause coexistence problems with the incumbent system operating in the same band.  Proposal #2: Whether a short control signing rule is applicable or not to the configured msg1/msgA resources can be explicitly indicated by the gNB or can be implicitly determined by the UE. |
| Intel Corporation | Proposal 20: It is left up to gNB to decide and apply SSE to any signals/channels which are additionally multiplexed with SS/PBCH, as long as when it does the 10% duty cycle over a 100ms observation period is met.  Proposal 21: SSB transmission with no LBT is supported at least for 960 kHz and type0-PDCCH.  Proposal 22: It is up to the gNB to decide and apply SSE to the discovery burst, as long as when it does the 10% duty cycle over a 100ms observation period is met.  Observation 3: The contention exempt control signaling rules is interpreted as if the 10% over any observation period of 100ms is applicable per device.  Proposal 23: The 10% over any observation period of 100ms is applicable to the msg1/msgA transmission from one UE perspective.  Observation 4: For 120 kHz, 480kHz, and 960 kHz PRACH transmission, UE does not exceed total transmission duration of 10 msec for PRACH within a 100 msec observation period.  Proposal 24: Contention Exempt Short Control Signaling rules apply to the transmission of msg3 for the 4-step RACH for all supported SCS.  Proposal 25: It is up to the UE to decide and apply SSE to SRS and PUCCH, as long as when it does the 10% duty cycle over a 100ms observation period is met. |
| Apple | *Proposal 4: Other DL signals and channels for control, management and beamforming RS that is FDMed together in the SSB symbol can be transmitted together with SSB under short control signaling rule.*  *Proposal 5: Transmission of SSB as short control signaling can be applied to 120KHz, 480KHz and 960KHz SCS. It is up to gNB implementation to ensure short control signaling regulation limitation is met.*  *Proposal 6: Enable UE specific RRC signaling to indicate which DL/UL channel/signals can be transmitted with contention exempt short control signaling rule.* |
| NTT DOCOMO INC. | Proposal 5: *Contention Exempt Short Control Signaling rules can be applicable to the transmission of SS/PBCH and multiplexed signals/channels within a same transmission burst irrespective of SCS*  Proposal 6: *Support Alt 2 on the interpretation of Contention Exempt Short Control Signaling rules, i.e., the 10% over any 100ms interval restriction is applicable to the msg1/msgA transmission from one UE perspective* |
|  |  |

### First Round Discussion

Summary of Current Positions:

Contention Exempt Short Control Signaling rules apply to the transmission of msg1 for the 4 step RACH and MsgA for the 2-step RACH for all supported SCS.

* Note restriction for short control signalling transmissions apply (10% over any 100ms intervals)
* Alt 1: The 10% over any 100ms interval restriction is applicable to all available msg1/msg3/msgA resources configured (not limited to the resources actually used) in a cell
  + Huawei, CATT, ZTE, FUTUREWEI, Nokia, OPPO, LG,
* Alt 2: The 10% over any 100ms interval restriction is applicable to the msg1/ /msgA transmission from one UE perspective
  + Vivo, Ericsson, Samsung, Qualcomm, Intel, DOCOMO
* FFS: Other UL signals/channels can be transmitted with Contention Exempt Short Control Signaling rule, such as msg3, SRS, PUCCH, PUSCH without user plain data, etc

Proposal 2.11.1-1:

Contention Exempt Short Control Signaling rules apply to the transmission of msg1 for the 4 step RACH and MsgA for the 2-step RACH for all supported SCS. Restriction for short control signalling transmissions apply (10% over any 100ms intervals). Down-select from the following alternatives

* Alt 1: The 10% over any 100ms interval restriction is applicable to all available msg1/msgA resources configured (not limited to the resources actually used) in a cell
* Alt 2: The 10% over any 100ms interval restriction is applicable to the msg1/msgA transmission from one UE perspective

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| --- | --- |
| Company | View |
| vivo | From our point of view, the regulation regarding short control signalling is for the actually transmitted signals, not the configured resources. Only when the signal is transmitted, it is considered as a short control signalling and the signal duration is counted in. If the signal is not transmitted, no transmission duration should be counted in the total short control signalling transmission time. Therefore, Alt 2 is supported for msg 1 and Msg A transmission when they are considered as short control signalling. |
| Charter Communications | Agree with vivo |
| Intel | Our preference is Alt.2, which we believe is more in line with the ETSI BRAN description, which refers with “equipment” to an individual device. |
| OPPO | Alt 1 is our understanding |

Discussion 2.11.1-2:

For contention exemption short control signalling based UL transmission consider the following signals and channels. Please provide your views on each of the following

* Any transmission on PUCCH
* SRS
* PUSCH not carrying user plane data
  + HARQ A/N on PUSCH
  + CSI reporting on PUSCH
  + Msg 3

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| --- | --- |
| Company | View |
| vivo | We are open to discuss the potential UL channels/signals as Short control signalling. |
| Intel | We are open to discuss, but we believe that as long as the 10% duty cycle is met, either PUCCH, SRS or any PUSCH not carrying user plane data could be qualified as short control signalling and benefit from the no-LBT exemption. |
| OPPO | We should rather discuss what the criterion is to judge if a channel is qualified to be contention exemption short control signalling. According to regulation, at least PUCCH carrying Ack/Nack is clearly allowed. For the rest of the UL channels/signals, we need a clear criterion for the decision. |

## CWS and CAPC

|  |  |
| --- | --- |
| Company | Key Proposals/Observations/Positions |
| Sony | Proposal 3: Support fixed Contention Window. • gNB’s contention windows size is left to network implementation. • UE’s contention window size is configured by network. |
| Lenovo Motorola Mobility | Proposal 19: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, CWS adjustment should be applied for each beam in an independent manner depending upon the corresponding CAPC (when Cat 4 LBT is done for each beam and COT is initiated for each of the beams), where the CWS adjustment for a transmit beam (TCI state) of a data channel can be based on the ACK/NACK feedback for the corresponding data channel with the same transmit beam (TCI state) |
| Samsung | Proposal 5: No need to define CAPC for 60 GHz unlicensed band. |
| CATT | Proposal 5: No need to introduce CAPC and CWS. |
| ZTE Sanechips | Observation 9: CWs adjustment can be considered to be introduced, which is beneficial in some highly congested scenarios and to friendly and fair coexistence with Wi-Fi. |
| Ericsson | Proposal 20 Do not support CAPC and CWS adjustment for NR operation in 52.6 GHz to 71 GHz. |
| Nokia, Nokia Shanghai Bell | Observation 1: We do not see a need for contention window adjustment mechanism for mitigating channel access collisions.  Proposal 2: LBT procedure uses fixed contention window size for random back-off.  Observation 2: With sufficiently short contention window size, there is no need for CAPCs  Proposal 3: Contention window size of [4] is used in the LBT procedure |
| Qualcomm Incorporated | Proposal 33: CWS adjustment need not be introduced for 60GHz band.  Proposal 34: CAPC need not be introduced for 60GHz band. |
| LG Electronics | Proposal #4: The channel access priority classes (CAPC) can be introduced for NR above 52.6 GHz to differentiate the channel access probabilities for different channels and traffic.  Proposal #5: To reduce the probability of collision, the contention window adjustment (CWS) procedure similar to Rel-16 NR-U can be adopted, and it is also necessary to discuss the relationship of the CWS and back-off counter values between wide beam LBT and independent per-beam LBT for multi-beam COT. |
| Intel Corporation | Proposal 2: For operation unlicensed 60 GHz band, when LBT is used within the COT, the principle of the type 1 channel access procedure defined for the sub-6 GHz band should be reused, and the channel access parameters should be modified in accordance with numerologies provided by the ETSI BRAN Harmonized Standard.  Proposal 3: The procedure specified in NR-U related to the CWS adjustment should be considered for operation in unlicensed 60 GHz band. RAN1 should further discuss and identify the values Zmin and Zmax. |
| ITRI | *Proposal 6: CWS adjustment mechanism could be applied per beam-based in an independent manner for 60 GHz NR-U.* |
| WILUS Inc. | *Proposal 4: We propose to introduce CAPC, CWS and CWS adjustment mechanism for 60GHz band, with Rel.16 NR-U as baseline.* |

### First Round Discussion

Discussion 2.12.1-1

Regarding introduction of CWS Adjustment, down select from the following alternatives

* Alt 1: Support the introduction of CWS adjustment
* Alt 2: Do not introduce CWS adjustment

Summary of positions so far:

* Alt 1: Motorola, ZTE, LG, Intel ~~(Keep NR-U Procedures)~~, ITRI (per beam) , WILUS
* Alt 2: Sony, Samsung, CATT, Nokia, Qualcomm, Ericsson

Please provide your position if not captured above

|  |  |
| --- | --- |
| Company | View |
| vivo | We see no strong motivation to introduce CWS adjustment. |
| Charter Communications | No introduction of CWS adjustment |
| Intel | Our preference is for Alt.1 and we believe that the introduction of the CWS and CAPC would be beneficial in highly congest scenario, where prioritization of traffic and contention resolution may be required. In this matter, the mechanisms and procedure define in Rel.16 could be used as a baseline. |
| OPPO | We support Alt 2. |

Discussion 2.12.1-2

Regarding introduction of Channel Access Priority Classes, down select from the following alternatives

* Alt 1: Support the introduction of CAPC
* Alt 2: Do not introduce CAPC adjustment

Summary of positions so far:

* Alt 1: Motorola, ZTE, LG, Intel, ITRI, WILUS
* Alt 2: Sony, Samsung, CATT, Nokia, Qualcomm, Ericsson

Please provide your position if not captured above

|  |  |
| --- | --- |
| Company | View |
| vivo | We see no strong motivation to introduce CAPC. |
| Charter Communications | Alt 2 – no CAPC |
| Intel | As highlighted above, we prefer Alt. 1. |
| OPPO | We support Alt 2. |

## Long Term Sensing, Interference Mitigation, ATPC, Other aspects

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| --- | --- |
| Company | Key Proposals/Observations/Positions |
| Lenovo Motorola Mobility | Observation 1: For NR unlicensed bands between 52.6 GHz and 71 GHz, with directional LBT based channel access mechanism, LBT failure on a beam could require a beam update procedure and that results in increased latency  Observation 3: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, depending on the configuration, a collision on CG resources can cause systematic collisions between corresponding subsequent retransmissions causing transmission failure of affected packets.  Proposal 14: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, then following potential enhancements related to periodic transmissions of RS such as P-TRS should be specified to deal with LBT failure: - Termination of periodic RS transmission on beams where consecutive LBT failures are encountered - Dynamic switching of the QCL assumption (beams) for periodic RS transmission where consecutive LBT failures are encountered, where: o Multiple QCL assumptions (multiple beams) can be configured to the RS resource and beam switch can be triggered once the continuous number of LBT failures reach a certain threshold value  Proposal 20: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, ATPC could be adopted as one of the channel access mechanism, at least for regions where LBT is mandated by regulatory requirements  Proposal 21: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, adopt CG retransmission collision avoidance techniques such as retransmission deferral or additional retransmission resources.  Proposal 24: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, enhancement to the transmitter side LBT mechanism based on failure to receive HARQ feedback scheme or timer-based scheme should be supported for LBT based channel access mechanisms to consider potential interference at the receiver.  Proposal 26: For NR operation in unlicensed bands between 52.6 GHz and 71 GHz, long term sensing should be supported for both LBT based and no-LBT based channel access mechanism to consider potential interference.  Observation 6: Currently, there is no mechanism is support long-term sensing including interference measurements from WiFi or other NR operators at the UE and corresponding reporting. |
| ZTE Sanechips | Observation 1: It is worth emphasizing that the OCB should be satisfied for each transmitter such as gNB or UE.  Proposal 1: In order to avoid ambiguity about the understanding of nominal bandwidth and resolve the problem of unclear the conclusion for the OCB requirement, it is necessary to give a clear guidance on how to deal with the issue on the nominal bandwidth, e.g., introduce the definition of nominal bandwidth.  Proposal 20: Study and evaluate the impact of LBT and the limitation of COT length on the procedure of beam failure detection. |
| Ericsson | Observation 12 The effectiveness of LBT itself as medium access mechanism for co-existence in unlicensed spectrum in 60 GHz band is questionable. Therefore, any further enhancement on LBT baseline from the HS need to be justified both on the performance gain and the required complexity. |
| Nokia, Nokia Shanghai Bell | Proposal 1: Completing the design for features essential for baseline channel access operation should be prioritized. |
| ITRI | *Proposal 4: PDCCH monitoring enhancement for M-TRP operation should be supported for 60 GHz NR-U.*  *Proposal 5: Configuring multiple SRIs for a CG transmission should be supported for 60 GHz NR-U.* |
| Convida Wireless | *Proposal 9: Enhancement of resource utilization and interference mitigation in 52.6 GHz to 71 GHz should be considered.*  *Proposal 11: Enhancement of beam operation for unlicensed bands should be investigated to mitigate interference and optimize system performance due to hidden node for NR up to 71 GHz.*  *Proposal 12: Increasing the number of SSB candidate positions to above 64 to increase transmission opportunities to cope with LBT failure should be considered.* |

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