**3GPP TSG RAN WG1 #110 R1-22xxxxx**

**Toulouse, France, 22 – 26. August 2022**

**Source: MediaTek**

**Title: [110-NR-7.2.10-CRs] Summary of comments on R1-2207005 “On Type-1 HARQ-ACK codebook in PUCCH for SCell dormancy”**

**Agenda item: 7.2.10**

**Document for:** **Discussion and Decision**

Introduction

In RAN1#110 meeting, one contribution [1, MTK] is submitted to clarify the Type-1 HARQ-ACK codebook in PUCCH for SCell dormancy.

As guided by the Chairman, to collect company views, this contribution provides summary of the submitted contributions (Section 4), discussion points (Section 2), and possible RAN1 consensus during this meeting (Section 3, TBD).

Discussion points

Based on the submitted contribution [1, MTK], it is mentioned that

* In 38.331 V16.9.0, UE is not expected to be configured with PDCCH monitoring for an SCell dormant BWP.





* In 38.213 V16.10.0 9.1.2.1, when determining the provided K1 values for Type-1 HARQ-ACK codebook, it is assumed UE would monitor at least one of DCI 1\_0/1\_1/1\_2. However, when an SCell enters a dormant BWP, UE does not monitor any of DCI 1\_0/1\_1/1\_2, and it is not clear which set of K1 values UE should assume.

Hence, [1] has the following text proposal for 38.213 V16.10.0 to address this issue:

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#### 9.1.2.1 Type-1 HARQ-ACK codebook in physical uplink control channel

For a serving cell , an active DL BWP, and an active UL BWP, as described in clause 12, the UE determines a set of occasions for candidate PDSCH receptions for which the UE can transmit corresponding HARQ-ACK information in a PUCCH in slot . If serving cell is deactivated, the UE uses as the active DL BWP for determining the set of occasions for candidate PDSCH receptions a DL BWP provided by *firstActiveDownlinkBWP-Id*. The determination is based:

a) on a set of slot timing values associated with the active UL BWP

a) If the UE is configured to monitor PDCCH for DCI format 1\_0 and is not configured to monitor PDCCH for either DCI format 1\_1 or DCI format 1\_2 on serving cell , or the active DL BWP for serving cell is dormant BWP, is provided by the slot timing values {1, 2, 3, 4, 5, 6, 7, 8}

b) If the UE is configured to monitor PDCCH for DCI format 1\_1 and is not configured to monitor PDCCH for DCI format 1\_2 for serving cell , is provided by *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16*

c) If the UE is configured to monitor PDCCH for DCI format 1\_2 and is not configured to monitor PDCCH for DCI format 1\_1 for serving cell , is provided by *dl-DataToUL-ACK-DCI-1-2*

d) If the UE is configured to monitor PDCCH for DCI format 1\_1 and DCI format 1\_2 for serving cell , is provided by the union of *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16* and *dl-DataToUL-ACK-DCI-1-2*

e) If an inapplicable value in *dl-DataToUL-ACK-r16* is provided, the value is excluded from

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**Discussion point 1:**

**Do you agree on the following observation from [1]:**

* **In 38.213 V16.10.0 9.1.2.1, when determining the provided K1 values for Type-1 HARQ-ACK codebook, it is assumed UE would monitor at least one of DCI 1\_0/1\_1/1\_2. However, when an SCell enters a dormant BWP, UE does not monitor any of DCI 1\_0/1\_1/1\_2, and it is not clear which set of K1 values UE should assume.**

**If your answer is “No”, please elaborate you understanding in the comment (based on current spec) which set of K1 values UE should assume.**

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| **Company** | **Yes or No** | **Comment** |
| MTK | Yes | It seems like a spec hole to us and should be fixed. |
| vivo | Comment | It is understandable that the spec may not be very clear in this case, but it seems the spec still workable.  According the spec it seems there is no suitable K1 values associated to the dormancy SCell, resulting an empty set of K1. Consequently, no HARQ-ACK bit is associated to this SCell in the generated codebook. But this does not seem to be an issue as no DL transmission is assumed in the dormancy SCell.  Although the size of codebook would be changed when the SCell becomes dormancy, considering that the SCell dormancy is acted as DL BWP change, the existing DL BWP change behaviour can still be applied.  Is there anything missing here? |
| ZTE | Yes | It seems that there are two different alternatives to address this issue.  Alt.1: Defining the K1 set for this case;  Alt.2: HARQ-ACK codebook is not generated for dormant BWP.  We prefer Alt.1 to align with the basic spirit of type-1 codebook. Regarding the K1 set, we think the K1 set configured for PCell/PUCCH-SCell should be used, instead of {1, 2, 3, 4, 5, 6, 7, 8}. |
| MTK |  | @vivo:   * Thanks for the nice comment. If you look at the following spec text from 38.213 9.1.2.1:   + “If serving cell is deactivated, the UE uses as the active DL BWP for determining the set of occasions for candidate PDSCH receptions a DL BWP provided by *firstActiveDownlinkBWP-Id*.” * You can see UE generates Type 1 HARQ-ACK codebook bits even for a deactivated SCell. Hence, to us, it seems UE should generate Type 1 HARQ-ACK codebook bits for an SCell which enters dormancy.   @ZTE:   * Thanks for the nice comment. If you look at the spec text from 38.213 9.1.2.1 (as shown in Section 2), UE does not find K1 set values from a different cell, even when an SCell is deactivated. Hence, we think it is more reasonable to define a K1 set from the current listed candidate options in 38.213 9.1.2.1 (i.e., (a) to (d)). |
| Intel |  | The proposed CR is actually the worst way to solve the issue, since it means always 8 bits are reported for the cell using dormant active BWP.  We think the interpretation from vivo sounds better. There is still an active BWP (though it is dormant) for the cell. K1 set in Type1 codebook generation is empty since no bullet from a)/b)/c)/d) applies. |
| Qualcomm | Yes | There is a lot of similarity between a deactivated cell and a dormant BWP of an activated cell. For the issue under discussion, can we follow the design for a “deactivated” cell by generating the HARQ-ACK codebook based on information for the DL BWP provided by *firstActiveDownlinkBWP-Id*? |
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**Discussion point 2:**

**If your answer to Discussion point 1 is Yes, can you accept the TP to 38.213 from [1]? If your answer is no, please further elaborate your concern or you have a different TP to address this issue.**

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| **Company** | **Yes or No** | **Comment** |
| MTK | Yes | We see the need to fix the spec. |
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Resulted RAN1 conclusion/agreement (phase 2)

TBD based on phase 1 input and online discussions.

Summary of contribution inputs

**Summary for [1, MTK]:**

In [1], it is mentioned that, in 38.331 V16.9.0, UE is not expected to be configured with PDCCH monitoring for an SCell dormant BWP as shown below.





In 38.213 V16.10.0 9.1.2.1, when determining the provided K1 values for Type-1 HARQ-ACK codebook, it is assumed UE would monitor at least one of DCI 1\_0/1\_1/1\_2, as shown below in highlighted sentences:

9.1.2.1 Type-1 HARQ-ACK codebook in physical uplink control channel

For a serving cell , an active DL BWP, and an active UL BWP, as described in clause 12, the UE determines a set of occasions for candidate PDSCH receptions for which the UE can transmit corresponding HARQ-ACK information in a PUCCH in slot . If serving cell is deactivated, the UE uses as the active DL BWP for determining the set of occasions for candidate PDSCH receptions a DL BWP provided by *firstActiveDownlinkBWP-Id*. The determination is based:

a) on a set of slot timing values associated with the active UL BWP

a) If the UE is configured to monitor PDCCH for DCI format 1\_0 and is not configured to monitor PDCCH for either DCI format 1\_1 or DCI format 1\_2 on serving cell , is provided by the slot timing values {1, 2, 3, 4, 5, 6, 7, 8}

b) If the UE is configured to monitor PDCCH for DCI format 1\_1 and is not configured to monitor PDCCH for DCI format 1\_2 for serving cell , is provided by *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16*

c) If the UE is configured to monitor PDCCH for DCI format 1\_2 and is not configured to monitor PDCCH for DCI format 1\_1 for serving cell , is provided by *dl-DataToUL-ACK-DCI-1-2*

d) If the UE is configured to monitor PDCCH for DCI format 1\_1 and DCI format 1\_2 for serving cell , is provided by the union of *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16* and *dl-DataToUL-ACK-DCI-1-2*

e) If an inapplicable value in *dl-DataToUL-ACK-r16* is provided, the value is excluded from

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However, when an SCell enters a dormant BWP, UE does not monitor any of DCI 1\_0/1\_1/1\_2, and it is not clear which set of K1 values UE should assume.

**Observation 1: In 38.331 V16.9.0 [1], UE is not expected to be configured with PDCCH monitoring for an SCell dormant BWP. In 38.213 V16.10.0 [2] 9.1.2.1, when determining the provided K1 values for Type-1 HARQ-ACK codebook, it is assumed UE would monitor at least one of DCI 1\_0/1\_1/1\_2. However, when an SCell enters a dormant BWP, UE does not monitor any of DCI 1\_0/1\_1/1\_2, and it is not clear which set of K1 values UE should assume.**

Hence, [1] has the following text proposal to fix this issue:

Proposal 1: Adopt the CR below in 38.213 V16.10.0 [2] to assign a provide K1 values set when the active DL BWP for a serving cell c is dormant BWP:

9.1.2.1 Type-1 HARQ-ACK codebook in physical uplink control channel

For a serving cell , an active DL BWP, and an active UL BWP, as described in clause 12, the UE determines a set of occasions for candidate PDSCH receptions for which the UE can transmit corresponding HARQ-ACK information in a PUCCH in slot . If serving cell is deactivated, the UE uses as the active DL BWP for determining the set of occasions for candidate PDSCH receptions a DL BWP provided by *firstActiveDownlinkBWP-Id*. The determination is based:

a) on a set of slot timing values associated with the active UL BWP

a) If the UE is configured to monitor PDCCH for DCI format 1\_0 and is not configured to monitor PDCCH for either DCI format 1\_1 or DCI format 1\_2 on serving cell , or the active DL BWP for serving cell is dormant BWP, is provided by the slot timing values {1, 2, 3, 4, 5, 6, 7, 8}

b) If the UE is configured to monitor PDCCH for DCI format 1\_1 and is not configured to monitor PDCCH for DCI format 1\_2 for serving cell , is provided by *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16*

c) If the UE is configured to monitor PDCCH for DCI format 1\_2 and is not configured to monitor PDCCH for DCI format 1\_1 for serving cell , is provided by *dl-DataToUL-ACK-DCI-1-2*

d) If the UE is configured to monitor PDCCH for DCI format 1\_1 and DCI format 1\_2 for serving cell , is provided by the union of *dl-DataToUL-ACK* or *dl-DataToUL-ACK-r16* and *dl-DataToUL-ACK-DCI-1-2*

e) If an inapplicable value in *dl-DataToUL-ACK-r16* is provided, the value is excluded from

References

[1] R1-2207005 On Type-1 HARQ-ACK codebook in PUCCH for SCell dormancy, MediaTek, RAN1 #110