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

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

**Agenda Item: 7.2.2**

**Source: Moderator (Huawei)**

**Title: [DRAFT] Feature lead summary#1 for NRU HARQ [103-e-NR-NRU-05]**

**Document for: Discussion and Decision**

# Introduction

Corrections on NR-U HARQ have been submitted at RAN1#103 e-meeting. The preparation phase of RAN1#103e prioritized the discussion on issue HARQ-OOO [R1-2008886, R1-2008888]:

[103-e-NR-NRU-05] Email discussion/approval on issue HARQ-OOO, in R1-2008888 until 10/29 with potential CRs by 11/4 – David (Huawei)

R1-2007609 (Huawei), R1-2007933 (Intel), R1-2007981 (Ericsson), R1-2008044 (LG), R1-2008128 (Samsung), R1-2008206 (Nokia) and R1-2008249 (OPPO) discussed the FFS point of the agreement made at RAN1#102e.

Agreement (RAN1#102e):

When a UE receives a second PDSCH (for DL SPS) after a first PDSCH, where the first PDSCH is not assigned an applicable K1 value in the corresponding first DCI format,

* the UE transmits HARQ-ACK for the first PDSCH:
	+ if the UE detects a second DCI format in any PDCCH monitoring occasion after the first DCI format where the second DCI format assigns an applicable K1 value for the first PDSCH (as specified in TS38.213 section 9.1.3) that corresponds to HARQ-ACK timing no later than the HARQ-ACK timing assigned for the second PDSCH
* Otherwise, the UE does not multiplex the HARQ-ACK information for the first PDSCH in a PUCCH or PUSCH transmission, unless a HARQ-ACK information retransmission is requested later than the HARQ-ACK timing assigned for the second PDSCH.
* FFS: Which codebook type(s) can be used for the HARQ-ACK information retransmission

Conclusion (RAN1#102e):

If the UE is provided with *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*or with *pdsch-HARQ-ACK-OneShotFeedback-r16*:

* In a given scheduled cell, the UE is not expected to receive a first PDSCH and a second PDSCH, starting later than the first PDSCH, with its corresponding initial HARQ-ACK transmission occasion assigned to be transmitted on a resource ending before the start of a different resource for the initial HARQ-ACK transmission occasion assigned to be transmitted for the first PDSCH.
* This clarifies that examples C4-Case1 and C4-Case2, as discussed in [R1-2007390](file:///D%3A%5Cworking_document%5C3GPP_5G_standadization%5CRAN%5CTSGR1_103-e%5CInbox%5Cdrafts%5C7.2.2%5CDocs%5CR1-2007390.zip), are allowed

The views from the Tdocs are summarized here. Types of codebooks that allow a HARQ-ACK information retransmission request (i.e. that does not qualify as an out-of-order condition per RAN1#102e agreement):

* eType2 or Type3 CB
	+ Huawei, Hisilicon, Intel, Ericsson, OPPO
	+ Samsung (in case of eType2 CB only if feedback for both groups is requested)
* Type3 CB only
	+ Nokia, Nokia Shanghai Bell
	+ LG
* Type2 CB
	+ OPPO (only when UE is also configured with Type 3 CB)

# Round 1

A proposal is provided based on the majority views to support such retransmission with Type-3 CB or eType-2 CB. Companies are invited to comment on the FL proposal by UTC 9:00 AM 10/27

FL proposal 1:

When a UE receives a second PDSCH (for DL SPS) after a first PDSCH, where the first PDSCH is not assigned an applicable K1 value in the corresponding first DCI format,

* if the UE didn’t detect a second DCI format in any PDCCH monitoring occasion after the first DCI format where the second DCI format assigns an applicable K1 value for the first PDSCH (as specified in TS38.213 section 9.1.3) that corresponds to HARQ-ACK timing no later than the HARQ-ACK timing assigned for the second PDSCH, the UE multiplexes the HARQ-ACK information for the first PDSCH in a PUCCH or PUSCH transmission only if a HARQ-ACK information retransmission is requested later than the HARQ-ACK timing assigned for the second PDSCH, and only if
	+ The HARQ-ACK information retransmission uses Type-3 HARQ-ACK codebook; or
	+ The HARQ-ACK information retransmission uses enhanced Type-2 HARQ-ACK codebook containing at least the PDSCH group assigned to the first PDSCH.

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| **Company** | **Comments** |
| OPPO | We are fine with FL proposal.  |
| ZTE | Support FL proposal. |
| Sharp | We support FL proposal 1. |
| Intel | We are fine with FL proposal |
| Samsung  | We are fine with FL proposal |
| Nokia, NSB | We support |
| LG | We still don’t see the essentiality to include such OOO HARQ-ACK feedback functionality in the enhanced Type-2 codebook which has been designed so complicated already. Considering the case operating with Type-1/2 CB, in the end, Type-3 CB would anyway need to be additionally configured for the UE if the gNB want to handle the OOO event caused by the combination of NNK1 and SPS. Given that, even in case operating with the enhanced Type-2 CB is configured, the gNB could handle such OOO case by additionally configuring Type-3 CB, without putting additional complexity to the (already complicated) enhanced Type-2 CB.BTW, one question to the above FL proposal 1 is, what would be the next step after the proposal if agreed. (additional modification to the proposal? or develop TP corresponding to the proposal?) |
| Ericsson | Fine with the proposal |
| QC | We have same view as LG. Also, we do not see the necessity of this proposal. If the intention is to discuss the FFS part of the previous agreement, then only that part can be discussed (i.e. no need to reformulate the agreement, which may create confusion as it is not exactly aligned with the previous agreement). For the FFS part of the previous agreement, we support Type-3 CB only.It is preferred to discuss the TP at this point. For the TP, we prefer LG or Nokia’s TP. |
| vivo | We are fine with FL proposal |

# Round 2

Based on the first round of discussion, the situation is the following:

* 9 companies support FL proposal 1 (eType2 CB and Type3 CB)
* 2 companies prefer to limit to Type3 CB only

Concerns on supporting eType2 codebook were expressed in terms of specification complexity. In order to better understand the concerns, it was deemed useful to continue the discussion on potential TPs to help understand the specification complexity.

**Approach #1: TP for TS 38.214 clause 5.1, example with 2 sub-bullets for Type3 CB and eType2 CB:**

In a given scheduled cell, the UE is not expected to receive a first PDSCH and a second PDSCH, starting later than the first PDSCH, with its corresponding HARQ-ACK assigned to be transmitted on a resource ending before the start of a different resource for the HARQ-ACK assigned to be transmitted for the first PDSCH, where the two resources are in different slots for the associated HARQ-ACK transmissions, each slot is composed of symbols [4] or a number of symbols indicated by *subslotLength-ForPUCCH* if provided, and the HARQ-ACK for the two PDSCHs are associated with the HARQ-ACK codebook of the same priority, except if one of the conditions below is fulfilled:

* the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16* and the DCI format that schedules PDSCH reception for the first PDSCH includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the DCI format that schedules PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and the UE detected another DCI format that includes a One-shot HARQ-ACK request field with value 1 later than the resource for the HARQ-ACK assigned to be transmitted for the second PDSCH
* the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16* and the first DCI format that scheduled PDSCH reception for the first PDSCH included a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the DCI format that scheduled PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and the UE detected another DCI format later than the resource for the HARQ-ACK assigned to be transmitted for the second PDSCH and that DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format.

**Approach #2: TP for TS 38.213 clause 9.1.3, example for Type3 CB (revised TP from Nokia):**

This clause applies if the UE is configured with *pdsch-HARQ-ACK-Codebook = dynamic* or with *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*. Unless stated otherwise, a PDSCH-to-HARQ\_feedback timing indicator field provides an applicable value.

A UE does not expect to multiplex in a Type-2 HARQ-ACK codebook HARQ-ACK information that is in response to a detection of a DCI format that does not include a counter DAI field.

If a UE receives a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*,

-     if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where

-     if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one

-     if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3

-     if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.

-  and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot assigned for HARQ-ACK information of a PDSCH, if any, with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format.

-  or if UE receives a third DCI format not indicating SPS PDSCH release or SCell dormancy and being later than the HARQ-ACK timing assigned for the PDSCH with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format, and the third DCI format includes a One-shot HARQ-ACK request field with value 1 the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.

-  otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission.

Companies are invited to comment on the potential TPs above and on the specification impact for allowing the OOO exception between DL SPS and eType2 codebook.

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| **Company** | **Comments** |
| OPPO | The TP with approach#1 is fine to us. For approach#2, we would like to know if it is just an example for Type 3 CB, and e-type 2 CB will be discussed too, or it is the final TP proposal. If it is just an example, we would like to see how the approach#2 with example for e-type 2 CB would look like.  |
| QC | Irrespective of Type3 versus eType2, TP1 is not even based on the agreement. In TP1, it simply allows out-of-order (irrespective of whether it is retransmission or not). In addition, the “otherwise” part of the agreement is not captured, which applies to at least Type1/Type2 CBs in all cases. The agreement has “if”, “otherwise”, “unless” parts, where “if” characterizes the condition for in-order scheduling, “otherwise” corresponds to out-of-order (in which case “the UE does not multiplex the HARQ-ACK information for the first PDSCH”), and “unless” part is an exception to the “otherwise” part. Agreement (RAN1#102e):When a UE receives a second PDSCH (for DL SPS) after a first PDSCH, where the first PDSCH is not assigned an applicable K1 value in the corresponding first DCI format,* the UE transmits HARQ-ACK for the first PDSCH:
	+ if the UE detects a second DCI format in any PDCCH monitoring occasion after the first DCI format where the second DCI format assigns an applicable K1 value for the first PDSCH (as specified in TS38.213 section 9.1.3) that corresponds to HARQ-ACK timing no later than the HARQ-ACK timing assigned for the second PDSCH
* Otherwise, the UE does not multiplex the HARQ-ACK information for the first PDSCH in a PUCCH or PUSCH transmission, unless a HARQ-ACK information retransmission is requested later than the HARQ-ACK timing assigned for the second PDSCH.
* FFS: Which codebook type(s) can be used for the HARQ-ACK information retransmission

Is there any different understanding of the agreement?For the FFS part of the agreement, it seems to us that we have a consensus for Type3 CB, but we do not have consensus for both Type3 and eType2. Then, it is natural to focus on Type3 at this point.For TP2, we think it generally captures the agreement well for Type 3. Some suggestions/questions for TP2:* Should the bullet with “and” and bullet with “or” be at the same level (both at the same level of other sub-bullets)?
* In first/second bullets “a slot assigned for HARQ-ACK information of a PDSCH, if any, with CRC scrambled by a CS-RNTI and” and “HARQ-ACK timing assigned for the PDSCH with CRC scrambled by a CS-RNTI and” can be replaced with “a slot for HARQ-ACK information in response to a SPS PDSCH reception” to be consistent with 38.213 language.

Given above, we can consider the following TP based on the revisions above on Nokia’sTP with some other minor changes:

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| - if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot for HARQ-ACK information in response to a SPS PDSCH reception, if any, received after the PDSCH scheduled by the first DCI format.- or if UE receives a third DCI format not indicating SPS PDSCH release or SCell dormancy later than the slot for HARQ-ACK information in response to a SPS PDSCH reception received after the PDSCH scheduled by the first DCI format, and the third DCI format includes a One-shot HARQ-ACK request field with value 1 in which case the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission.  |

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| LG | We have similar view with Qualcomm since structure of the agreement made in RAN1#102-e seems to be somewhat different from the OOO sentence in current spec, in terms of UE behaviour in case when the OOO case is caused by NNK1 and SPS (no multiplexing of HARQ-ACK for first PDSCH in such case, rather than treating an error), and the exception of the OOO.And I also understood what David commented to our TP, to be specific, for the part of HARQ-ACK timing and processing time, so I provide the updated TP modified accordingly as below (and agree with Mostafa to focus on Type3 having a consensus at this moment).

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| - if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI indicates a slot with the earliest one among PUCCH or PUSCH transmission(s) carrying HARQ-ACK corresponding to the PDSCH received after the first PDSCH reception- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3, and the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI indicates a slot with the earliest one among PUCCH or PUSCH transmission(s) carrying HARQ-ACK corresponding to the PDSCH received after the first PDSCH reception- if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission.  |

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| Huawei | Here is our response to Qualcomm’s comments.**TP1**: the two added bullet points intend to cover the exception (“unless”) from the agreement. The “if” and “otherwise” conditions are already covered by the specifications. TP1 only intends to cover the agreement, with each bullet corresponding to resolving the FFS for Type3 and eType2 CB, respectively. We are not sure where Qualcomm thinks TP1 is inconsistent with the agreement. Could you explain where this is not consistent with the agreement (perhaps for the bullet on Type3 CB first)?It seems you consider that a request of Type3 CB cannot be considered as a retransmission unless there was another DCI format between the first DCI with NNK1 and the DCI with Type3 CB request? This is not our understanding of the agreement. Why should the network have to first send an OOO HARQ feedback request (or a request without sufficient processing time) and then a Type3 CB feedback request so that the Type3 CB feedback request corresponds to a retransmission and be seen as a 3rd DCI? Wouldn’t the UE anyway already discard all HARQ based on the second DCI since it creates an OOO condition (or in sufficient processing time)? If the UE even missed that second DCI, how would TP1 work since from the UE perspective the 3rd DCI would only be the second received DCI? That being said, it should be possible to re-formulate TP1 to allow the case where the 2nd DCI format carries Type3 CB request and is received after the PDSCH SPS HARQ-ACK report.\*\*\*In a given scheduled cell, the UE is not expected to receive a first PDSCH and a second PDSCH, starting later than the first PDSCH, with its corresponding HARQ-ACK assigned to be transmitted on a resource ending before the start of a different resource for the HARQ-ACK assigned to be transmitted for the first PDSCH, where the two resources are in different slots for the associated HARQ-ACK transmissions, each slot is composed of symbols [4] or a number of symbols indicated by *subslotLength-ForPUCCH* if provided, and the HARQ-ACK for the two PDSCHs are associated with the HARQ-ACK codebook of the same priority, except if one of the conditions below is fulfilled:* the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16* and the DCI format that schedules PDSCH reception for the first PDSCH includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the DCI format that schedules PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and the UE detected another DCI format that includes a One-shot HARQ-ACK request field with value 1 later than the resource for the HARQ-ACK assigned to be transmitted for the second PDSCH.
* the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16* and the first DCI format that scheduled PDSCH reception for the first PDSCH included a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the DCI format that scheduled PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and the UE detected another DCI format later than the resource for the HARQ-ACK assigned to be transmitted for the second PDSCH and that DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format.

\*\*\***TP2**I am not sure whether having all bullet points at the same level is right or not since normally all bullet points should be readable immediately following “where” in the main bullet. But putting that aside for now, the second new bullet in TP1 talks about a 3rd DCI format. The agreement from RAN1#102e does not talk about a 3rd DCI format. The “unless” condition can be fulfilled by the 2nd DCI format as long as it is received after the PUCCH carrying HARQ-ACK in response to SPS PDSCH reception. So I believe the second new bullet in TP1 should be a sub-bullet of the first new bullet (as in Nokia’s updated TP), stating the exception (at least for Type3 CB) allowing the OOO HARQ with DL SPS.\*\*\*if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot for HARQ-ACK information in response to a SPS PDSCH reception, if any, received after the PDSCH scheduled by the first DCI format.- or if UE receives a third DCI format not indicating SPS PDSCH release or SCell dormancy later than the slot for HARQ-ACK information in response to a SPS PDSCH reception received after the PDSCH scheduled by the first DCI format, and the third DCI format includes a One-shot HARQ-ACK request field with value 1 in which case the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission.\*\*\* |
| Huawei | Here is our response to LG’s updated TP. It seems the updated TP aims to address the “otherwise” part in RAN1#102e agreement, but the “unless” part is not covered by the TP. In my understanding the “otherwise” part is already covered by the OOO condition existing in 38.214 clause 5.1. The TP we need to develop is mainly for the “unless” part. |
| LG | I think the “unless” part in the RAN1#102-e agreement was intended to support HARQ-ACK transmission for the first PDSCH regardless whether the second DCI causes the OOO situation or not, in other words, whether the second DCI indicates HARQ-ACK timing earlier or later than the HARQ-ACK timing for the second PDSCH doesn’t matter for the CB type supporting the “unless” part. That’s why I didn’t add anything to the part related to Type-3 CB, but some wording can be added as below if there is anyhow confusion (but, it still seems a bit unnecessary).- if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4, regardless whether the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI indicates a slot with the earliest one among PUCCH or PUSCH transmission(s) carrying HARQ-ACK corresponding to the PDSCH received after the first PDSCH reception |
| ZTE | We agree with FL that the “if” and “otherwise” conditions are already covered by the specifications. So the TP of approach #2 may not be necessary.Regarding the “unless” part, we think it is similar as the example C4 we dicussed in the last meeting. Given the conclusion made in the last meeting to allow the retransmission, I remember that we had concensus that no TP is needed to clarify this in the spec? If so probably the TP of approach #1 is not needed as well. |
| QC2 | Regarding Huawei and ZTE comments: “otherwise” part is not covered by OoO restriction. In our understanding, that was the whole point of all this discussion. OoO restriction means that UE does not expect this case to happen. Hence, UE behaviour is not defined. However, “otherwise” part specifies the UE behaviour, which is “the UE does not multiplex the HARQ-ACK information for the first PDSCH”. As discussed earlier, the benefit of this behaviour (even for Type1 / Type2) is that there is a clear UE behaviour, and error is not propagated to the next PUCCH occasions later.During the discussions in the last meeting, we even did not have the “unless” part initially (please see the following proposal in one of FL’s summaries as well as original Alt4). Then, the “unless” part was added as a compromise. If “otherwise” part is already covered by the specification, then what was the point to even discussing all of this? Note that the issue initially was discussed for regular Type 2 for which the “unless” part is not even applicable.**Proposal 1c (for C3 cases with DL SPS, based on Alt4):**When a UE receives a second PDSCH (for DL SPS) after a first PDSCH, where the first PDSCH is not assigned an applicable K1 value in the corresponding first DCI format,* the UE transmits HARQ-ACK for the first PDSCH:
	+ if the UE detects a second DCI format in any PDCCH monitoring occasion after the first DCI format where the second DCI format assigns an applicable K1 value for the first PDSCH (as specified in TS38.213 section 9.1.3) that corresponds to HARQ-ACK timing no later than the HARQ-ACK timing assigned for the second PDSCH, or
	+ ~~if the UE detects a second DCI format in any PDCCH monitoring occasion after the first DCI format (as specified in TS38.213 section 9.1.4), and the second DCI format includes a One-shot HARQ-ACK request field with value 1.~~
* Otherwise, ~~UE does not transmit HARQ-ACK for the first PDSCH~~ the UE does not multiplex the HARQ-ACK information for the first PDSCH in a PUCCH or PUSCH transmission.

Also, the original Alt4 (referred to in proposal 1c above), was characterized as Alt 4: When UE receives first DL SPS  PDSCH and second PDSCH for which applicable K1 was not yet received,  UE does not transmit HARQ-ACK for the second PDSCH.Regarding Huawei’s question “you consider that a request of Type3 CB cannot be considered as a retransmission unless there was another DCI format between the first DCI with NNK1 and the DCI with Type3 CB request?”: In our understanding, in the second TP, the “third DCI” is only to distinguish it with “the second DCI” (i.e. the second DCI does not have to be the DCI that requests Type3 feedback). In other words, network does not have to first send an OOO HARQ feedback request and then a Type3 CB feedback request. Having said that, “retransmission” in the agreement can also be interpreted that way. At least for Type3, we do not see the need to define it in such a narrow way as Type3 CB construction is anyway based on HARQ IDs. Regarding LG’s TP: We are fine with that too, but our preference is modified TP2 based on Nokia’s original TP. |
| Nokia, NSB | With respect to third DCI, I wonder whether “a DCI” instead of “third DCI” could solve the concern from Huawei. If the second DCI provides TYPE-3 CB trigger, was the common understanding that UE will report TYPE-3 CB based on HARQ processes and include HARQ-ACK for the first PDSCH there.Based on last meeting, OOO text shall not be updated, this is why we strongly prefer to clarify in 213 along the TP#2. |
| Huawei, HiSilicon | **On the “otherwise” part**: I now understand Qualcomm’s comment and agree that the agreement does specify a UE behaviour instead of leaving the UE behaviour unspecified due to OOO condition. In either case the gNB won’t expect HARQ feedback so it may not matter that much to have a TP, but we are ok to have a TP to specify the “otherwise” part, such as in TP2 in 38.213.**On the “unless” part**: by the same logic we should specify the UE behaviour (e.g. for Type3 CB if we can only agree to resolve the FFS with Type3 CB). Because otherwise the UE still falls in the OOO condition of clause 5.1 in TS38.214 and the gNB can’t expect the feedback because the UE behaviour is unspecified so the UE may not report the requested HARQ in Type3 CB. In our view, a TP is needed even more for this case where the gNB actually expects feedback from the UE. We have no strong preference whether to clarify this in 213 or 214, as long as it is clear.I don’t really see the point of quoting earlier intermediate versions of the discussion at RAN1#102e. What we have is only the final agreement of RAN1#102e and that agreement includes the “unless” part with an FFS to resolve.**Case 4**: From Huawei’s perspective, as discussed in our Tdoc R1-2007609, we think that we should have a TP to clarify the conclusion reached for the UE behaviour for Case 4. Our reading of the specs is that the UE would still fall in an OOO condition for case 4, and in this case the specs still leave the UE behaviour unspecified, contrary to the conclusion. RAN1#102e did not reach a consensus to NOT have a TP for case 4, there was simply no consensus on whether or not to have a TP. |
| OPPO2 | We still belive that the ‘unless’ case should not only apply to type-3 codebook. If the approach#2 is agreed by the group, we propose to have the following updates to also factor in the e-type 2 codebook. - if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot for HARQ-ACK information in response to a SPS PDSCH reception, if any, received after the PDSCH scheduled by the first DCI format.- or if UE receives a third DCI format not indicating SPS PDSCH release or SCell dormancy later than the slot for HARQ-ACK information in response to a SPS PDSCH reception received after the PDSCH scheduled by the first DCI format, and ~~the third DCI format includes a One-shot HARQ-ACK request field with value 1 in which case~~ the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4, if the third DCI format includes a One-shot HARQ-ACK request field with value 1; or the UE includes the HARQ-ACK information in a Type-2 HARQ-ACK codebook, as described in Clause 9.1.3.3, if the third DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format and does not include a One-shot HARQ-ACK request field with value 1. - otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission. |
| Ericsson | Related to TP2 , we have the same concern about “third DCI” as stated by HW.We also don’t see the need for the first new bullet: -  and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot assigned for HARQ-ACK information of a PDSCH, if any, with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format.Thisnt this case already covered by the combination of the first 2 bullets + OOO rule ? I mean the described behavior is what the UE would do if OOO does not occur and that is by following one of the following: if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.What is then needed is to describe the expection: -  or if UE receives a ~~third~~ second DCI format not indicating SPS PDSCH release or SCell dormancy and being later than the HARQ-ACK timing assigned for the PDSCH with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format, and the ~~third~~ second DCI format includes a One-shot HARQ-ACK request field with value 1 the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.**To cover the eType2 case:** -  or if UE receives a ~~third~~ second DCI format not indicating SPS PDSCH release or SCell dormancy and being later than the HARQ-ACK timing assigned for the PDSCH with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format, and the ~~third~~ second DCI format includes a value of the PDSCH-to-HARQ\_feedback timing indicator field and indicates retransmission of a ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 **For TP1 we propose the following modification:** * the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16* and the DCI format that schedules PDSCH reception for the first PDSCH includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the UE is configured to receive a SPS PDSCH after the reception of the first PDSCH and ~~the DCI format that schedules PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and~~ the UE detected another DCI format that includes a One-shot HARQ-ACK request field with value 1 later than the resource for the HARQ-ACK assigned to be transmitted for the SPS PDSCH.
* the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16* and the first DCI format that scheduled PDSCH reception for the first PDSCH included a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from dl-DataToUL-ACK and the UE is configured to receive a SPS PDSCH after the reception of the first PDSCH and ~~the DCI format that scheduled PDSCH reception for the second PDSCH had its CRC scrambled by a CS-RNTI and~~ the UE detected another DCI format later than the resource for the HARQ-ACK assigned to be transmitted for the SPS PDSCH~~second PDSCH~~ and that DCI format indicates retrainsmission of HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format.
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| vivo | For TP 1, we think the modification form Ericsson is fine.For TP 2, we agree with OPPO’s update in principle, but we have the same concern about “third DCI” as Ericsson and Huawei. |
| QC | Just a clarification about the reason to quote earlier intermediate versions of the discussion: We agree that “unless” part is also agreed and should be specified based on the agreement (which can be captured in 38.213 as discussed above at least for Type-3 for which there is consensus). The intentions was just to point out the importance of the “otherwise” part as well as it was how the discussions started, which seems to be also acceptable to Huawei.We think “third DCI” can be replaced with “a DCI” as Nokia suggested. Also, for the conclusion in the previous meeting, we do not think TP is needed for 38.214. Our understanding is that the reason that it was a conclusion (and not an agreement) was that the need for a TP was not identified. |

# Round 3

# Summary

# Annex: proposals from Tdocs

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| **Company** | **Summary of proposals and further comments** |
| HuaweiR1-2007609 | Observation 1: Any HARQ information transmission for a PDSCH initially scheduled with NNK1 value should be considered as a HARQ re-transmission by the network and by the UE.Proposal 1: gBN can choose either Type3 codebook or enhanced Type2 codebook for requesting HARQ-ACK information retransmission of a first PDSCH (initially scheduled with NNK1 value earlier than a DL SPS PDSCH), where the request for HARQ-ACK information retransmission is received later than the HARQ-ACK timing assigned for the DL SPS PDSCH. |
| IntelR1-2007933 | HACK-ACK transmission for PDSCH 1 after PUCCH1 should be considered as retransmission for the HARQ-ACK information. According to the above conclusion from last meeting, OOO checking doesn’t apply to the HARQ-ACK retransmission for PDSCH1.Proposal 2: Both enhanced Type2 HARQ-ACK codebook and Type3 HARQ-ACK codebook are allowed for the HARQ-ACK retransmission of PDSCH1 after the timing of PUCCH1 for the SPS PDSCH. |
| EricssonR1-2007981 | The agreement should be applicable irrespective of the codebook type used for requesting the retransmission. Update the agreement by simply removing the FFS. The agreed behavior is aligned with what is already in the specification. Additionally, a conclusion was made last meeting about excluding retransmissions from the existing rel-15 OOO behavior. Therefore, no TP is needed. |
| LGR1-2008044 | Proposal: One-shot Type-3 codebook can be used for the HARQ-ACK retransmission in potential OOO case caused by combination of NNK1 indication and SPS PDSCH.If a UE receives a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*, - if the UE detects a second DCI format not including a One-shot HARQ-ACK request field with value 1 and a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI indicates a slot with the earliest one among PUCCH or PUSCH transmission(s) carrying HARQ-ACK corresponding to the PDSCH received after the first PDSCH reception that satisfies the timing conditions in Clause 9.2.5, the UE multiplexes the corresponding HARQ-ACK information in ~~a~~ the PUCCH or PUSCH transmission ~~in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format~~, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one- if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- otherwise, the UE does not multiplex the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission. |
| SamsungR1-2008128 | For a UE configured with both enhanced type-2 codebook and type-3 codebook, if a second DCI triggers type-3 codebook, or requests HARQ-ACK of both PDSCH groups by enhanced type-2 codebook, HARQ-ACK of all previous PDSCHs are reported, thus it makes sense to also support HARQ-ACK feedback of first PDSCH with NNK1 together with HARQ-ACK of other PDSCHs in the same PUCCH. If a second DCI triggers only single PDSCH group by enhanced type-2 codebook, it violates OOO rule, so that the UE does not multiplex the HARQ-ACK for the first PDSCH in the PUCCH indicated by the second DCI.Proposal: HARQ-ACK retransmission for a PDSCH with NNK1 for both type-3 codebook and enhanced type-2 codebook for both PDSCH groups is supported. To support efficient HARQ-ACK feedback for NR-U, it is proposed to update the previous agreement as below: When a UE receives a second PDSCH (for DL SPS) after a first PDSCH, where the first PDSCH is not assigned an applicable K1 value in the corresponding first DCI format,* the UE transmits HARQ-ACK for the first PDSCH:
	+ if the UE detects a second DCI format in any PDCCH monitoring occasion after the first DCI format where the second DCI format assigns an applicable K1 value for the first PDSCH (as specified in TS38.213 section 9.1.3) that corresponds to HARQ-ACK timing no later than the HARQ-ACK timing assigned for the second PDSCH
* Otherwise, the UE does not multiplex the HARQ-ACK information for the first PDSCH in a PUCCH or PUSCH transmission, unless a HARQ-ACK information retransmission is requested by the second DCI which includes one-shot HARQ-ACK request field with value 1 or requests feedback for both PDSCH groups later than the HARQ-ACK timing assigned for the second PDSCH
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| NokiaR1-2008206 | When it comes to FFS, we believe that both TYPE-3 and e-TYPE-2 could be supported for re-tx. On the other hand, we understand that re-transmission with TYPE-3 has less impact on the implementation, if any, because construction is HARQ-process based, i.e. no special DAI keeping is necessary for the dropped HARQ-ACKProposal: At least TYPE-3 CB can be used for the HARQ-ACK information retransmission9.1.3 Type-2 HARQ-ACK codebook determination This clause applies if the UE is configured with *pdsch-HARQ-ACK-Codebook = dynamic* or with *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*. Unless stated otherwise, a PDSCH-to-HARQ\_feedback timing indicator field provides an applicable value. A UE does not expect to multiplex in a Type-2 HARQ-ACK codebook HARQ-ACK information that is in response to a detection of a DCI format that does not include a counter DAI field.If a UE receives a first DCI format that the UE detects in a first PDCCH monitoring occasion and includes a PDSCH-to-HARQ\_feedback timing indicator field providing an inapplicable value from *dl-DataToUL-ACK*, - if the UE detects a second DCI format, the UE multiplexes the corresponding HARQ-ACK information in a PUCCH or PUSCH transmission in a slot that is indicated by a value of a PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format, where- if the UE is not provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one - if the UE is provided *pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16*, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format indicates a HARQ-ACK information report for a same PDSCH group index as indicated by the first DCI format as described in Clause 9.1.3.3 - if the UE is provided *pdsch-HARQ-ACK-OneShotFeedback-r16*, the first DCI format does not indicate SPS PDSCH release or SCell dormancy, the UE detects the second DCI format in any PDCCH monitoring occasion after the first one, and the second DCI format includes a One-shot HARQ-ACK request field with value 1, the UE includes the HARQ-ACK information in a Type-3 HARQ-ACK codebook, as described in Clause 9.1.4.- and where the slot indicated by the value of the PDSCH-to-HARQ\_feedback timing indicator field in the second DCI format is no later than a slot assigned for HARQ-ACK information of a second PDSCH, if any, with CRC scrambled by a CS-RNTI and received after the PDSCH scheduled by the first DCI format. |
| OPPOR1-2008249 | Proposal 1: When a UE receives a SPS PDSCH after a first PDSCH, where the first PDSCH is assigned with NNK1: * When at least one of e-type 2 codebook and type 3 codebook is configured, a DCI assigning an applicable K1 value for the first PDSCH with type 2, e-type 2 or type 3 codebook, the UE will consider as the retransmission of the HARQ-ACK corresponding to the first PDSCH.
* When only type 2 codebook is configured, if the UE does not receive a DCI assigning an applicable K1 value for the first PDSCH that corresponds to HARQ-ACK timing no later than HARQ-ACK timing assigned for the SPS PDSCH before t0, the UE can skip the processing of the first PDSCH or SPS PDSCH, where t0 is determined based on the starting of PUCCH assigned for the SPS PDSCH and PDSCH processing timeline.
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# References

R1-2007609 Maintenance on HARQ-ACK enhancement Huawei, HiSilicon

R1-2007933 Remaining issues on NR-U Intel Corporation

R1-2007961 Text proposals on type-3 HARQ-ACK codebook and multi-PUSCH scheduling ZTE, Sanechips

R1-2007981 HARQ Corrections Ericsson

R1-2008044 Remaining issues of HARQ procedure for NR-U LG Electronics

R1-2008128 Remaining issues on HARQ Samsung

R1-2008206 Remaining issues on NR-U HARQ and Initial Access Procedures Nokia, Nokia Shanghai Bell

R1-2008249 Discussion on the remaining issues of HARQ enhancements OPPO

R1-2008661 Remaining issues on HARQ operation for NR-U vivo

R1-2008886 FL summary\_1 for NRU HARQ 103e v002 Moderator (Huawei)

R1-2008888 Preparation phase email discussion for NR-U Moderator (Qualcomm Incorporated)