**3GPP TSG RAN WG1 #102e R1-2007013**

**e-Meeting, August 17th – 28th, 2020**

**Source: Moderator (NTT DOCOMO, INC.)**

**Title:** **Summary on [102-e-NR-UEFeatures-NRU-01]**

**Agenda Item:** **7.2.11**

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

1. Introduction

This contribution summarizes the following email discussion/approval in AI 7.2.11.

[102-e-NR-UEFeatures-NRU-01] Email discussion/approval on UE features for NR-U (17th – 20th August), Hiroki (DCM)

* Whether the FG10-2f is removed for all deployment scenarios or retained for at least specific scenario(s)
* Whether the term “for NR-U” is replaced by “for operation with shared spectrum channel access” or not for FG10-2i/26/26a/27
* Whether each of FGs10-9/9b/9c/9d/15/16/20a is applicable to licensed bands or not (i.e., the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added)
	+ Whether the note is added for 10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24, 10-31
1. FG10-2f

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| 10. NR-unlicensed | 10-2f | Support monitoring of extended RAR window | 1. Support of RAR extension from 10ms to 40ms by decoding of the 2-bit SFN indication in DCI 1\_0 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |

Following proposals are made in contributions.

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| [5] | It should also be noted that RAN2 informed RAN1 that FG10-2f does not require a UE capability bit, as clarified in the LS R1-2005204 from RAN2 quoted below. Therefore an update to the NR-U features list is needed to either clarify that no capability bit is defined for FG10-2f, or to remove FG10-2f from the list.*RAN2 has further discussed the two LSB bits of the SFN specified in DCI format 1\_0 related to the random access procedure in unlicensed spectrum and for 2-step RACH:**RAN2 agreed that the gNB signals the SFN bits to the UE only if there is a risk of ambiguity, i.e. if the random access response window or the MSGB response window is larger than 10 ms. The RAR window is configured by ra-ResponseWindow or ra-ResponseWindow-r16 and the MSGB response window is configured by msgB-ResponseWindow-r16.**No UE capability it required and all NR-U capable and 2step RA UEs should support extended RAR***Proposal NRU-2:** **clarify that no capability bit is defined for FG10-2f, or remove FG10-2f from the list of NR-U FGs, since RAN2 informed RAN1 that FG10-2f does not require a UE capability bit.** |
| [6] | RAN2 has agreed that no UE capability is required for extended RAR and that all NR-U capable and 2step RACH capable UEs should support extended RAR. In practice this means that FG 10-2f is no longer needed and it should be removed from the RAN1 feature table:

|  |  |  |
| --- | --- | --- |
| 10-2f | Support monitoring of extended RAR window | 1. Support of RAR extension from 10ms to 40ms by decoding of the 2-bit SFN indication in DCI 1\_0 |

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| [7] | RAN2 has sent an LS to RAN1 recommending that support for RAR extension from 10 ms to 40 ms should not be a UE capability [2] meaning that it is part of basic operation for all scenarios. However, missing from the discussion in RAN2 was any differentiation between standalone / DC and LAA scenarios. In our view, this FG can be part of basic operation for standalone/DC; however, it does not make sense to have it as part of basic operation for LAA scenarios. Hence, we propose to keep FG 10-2f, but make it part of basic operation only for standalone/DC, as shown in our proposal in Table 1.1. For FG 10-2f, keep it as a FG contrary to recommendation in LS from RAN2 [2]. Include it as part of basic operation only for Scenarios B,C,D,E (not A).
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Based on the above contributions, it is agreed to discuss following point in the email discussion [8].

**Discussion point #1**

* **Whether the FG10-2f is removed or not**

Companies provided following views during the preparation phase discussion [8].

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| Company | Comment |
| Ericsson | The only comment is with respect to the dicussion item "**Whether the FG10-2f is removed or not**". We think this could be rephrased to better refelect the open issue. For Scenario A (LAA), it seems that the UE should not be mandated to support extended RAR window since initial access is performed on the licensed carrier. Hence we suggest the following: "**Whether the FG10-2f is removed for all deployment scenarios or retained for at least specific scenario(s)**" |
| Huawei, HiSilicon | If removing FG10-2f from the list is controversial, an alternative could be to note that there is no associated capability signaling for FG10-2f in the “note” column. In our understanding, UEs only supporting DL for LAA may not need to support FG10-2f (although they may still support extended RAR window for 2-step RACH). If RAN1 decides not to mandate FG10-2f for all UEs supporting unlicensed operation, then RAN2 should introduce a capability bit. The complexity of supporting FG10-2f does not seem high, so we would be ok to follow RAN2’s decision without capability bit for all scenarios. |
| LG Electronics | As to FG10-2f, we think it can be still necessary in some scenarios such as hand-over between asynchronous cells, even though RAR window extension is mandatorily supported for NR-U capabile UEs. To be specific, if a UE is required to decode neighbor cell’s MIB during hand-over procedure but the UE does not indicate the capability to validate SFN by decoding RAR, the UE may proceed RACH procedure without reading neighbor cell’s MIB and without checking SFN 2 bits in DCI. In this case, we may need to slightly change the description for FG10-2f but we believe further details can be discussed from the next week. |

## 2.1 Proposal and discussion

Based on contributions and above inputs during preparation phase discussion, following proposal is made.

### **FL proposal 1:**

* **The note “there is no associated capability signaling, and all UEs capable of NR-U standalone/DC deployment scenarios are required to support this feature” is added for FG10-2f.**

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| 10. NR-unlicensed | 10-2f | Support monitoring of extended RAR window | 1. Support of RAR extension from 10ms to 40ms by decoding of the 2-bit SFN indication in DCI 1\_0 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | There is no associated capability signaling, and all UEs capable of NR-U standalone/DC deployment scenarios are required to support this feature | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |

Companies are encouraged to check above FL proposal and to provide feedback if any in below. If you cannot accept the FL proposals, please put your company name after “Cannot accept the proposals” below and please provide your alternative proposal (in your comment) which could be acceptable to all in your consideration.

 Cannot accept the proposals:

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| Company | Comment |
| DOCOMO | Support the proposal.  |
| LG Electronics | In our opinion, even though RAR extension is supported to all NR-U capable UEs, FG 10-2f seems still necessary in a particular scenario such as hand-over between unlicensed cells. In this case, NR-U UE may be required to decode neighbor cell’s MIB to obtain SFN of target NR-U cell. However, since MIB decoding for hand-over case may lead to a burden to UE implementation and increase of hand-over latency, some UE implementation can choose to proceed hand-over and RACH procedures before UE decodes target cell’s MIB and validates SFN 2 bit indication in DCI 1\_0. Based on this consideration, we propose to modify FG 10-2f as follows:

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| 10. NR-unlicensed | 10-2f | Support decoding of the 2-bit SFN indication in DCI 1\_0 during handover procedure between unlicensed band cells | 1. Support decoding of MIB for target cell and decoding of the 2-bit SFN indication in DCI 1\_0 during handover procedure between unlicensed band cells |

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| MediaTek | * For FG10-2f, as RAR is only transmitted on SpCell and not on SCell, we believe that only UE that supports NR-U SA/DC scenarios is required to support FG10-2f. As for NR-U CA scenarios, RAN1 can further discuss whether UE does not support this at all or can be a UE capability. If RAN1 agrees this can be a UE capability for CA scenrios, then we should retain this FG. To align with the LS from RAN2, this FG should hence be a basic FG for NR-U SA/DC scenarios.
* Per the following RAN1 agreements, it is our understanding that extended RAR was agreed only for unlicensed operation. In other words, it is not applicable to licensed operation regardless of the RACH type (2-step or 4-step).

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| Agreement: (RAN1 #99, 1911)* If 2 bits are available for DCI format 1\_0 for 2-step RACH, include 2 bits of SFN LSB information using the reserved bits in DCI format 1\_0 for both 2-step and 4-step RACH for operation in unlicensed spectrum
 |

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| Huawei, HiSilicon | We would be ok with the moderator’s proposal but there are still concerns. Then it may be easier to agree that 10-2f requires capability signalling, but it will be a basic FG for standalone and DC scenarios in unlicensed operation, and reply to RAN2 LS that although RAN1 agrees no capability signalling would be ok for the standalone and DC scenarios, the feature is not necessary for CA/LAA, therefore RAN1 asks RAN2 to introduce a capability bit for 10-2f. It may be better to avoid re-wording the description of the FG unless it is absolutely necessary, so in this sense we don’t think that LG’s proposed re-formulation is necessary. |
| Apple  | We support Huawei’s proposal i.e. to keep capability signaling. Whether it is basic feature group for some deployment scenario. e.g SA/DC scenario should be a separate discssions i.e. association between basic groups and deployment scenarios in a broader way. It is necessary to reply LS to RAN2 as Huawei suggested. |
| Ericsson | We are okay to agree that there is no capability signalling for standalone/DC (Scenarios B,C,D,E)However, we still believe that for LAA (Scenario A), it should not be mandatory that UEs implement this feature. Thus our preference is to maintain the capability signalling of 10-f, but restrict the signalling to Scenario A only. If this can be agreed, we are fine to leave a note saying "all UEs supporting Scenarios B,C,D,E are required to support this feature"We agree with HW to maintain the current wording of the feature group description |

1. Editorial corrections for FG10-2i/26/26a/27

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| 10. NR-unlicensed | 10-2i | CSI-RS-based BFD/CBD for NR-U | CSI-RS-based BFD/CBD for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-26 | CSI-RS based RLM for NR-U | CSI-RS based RLM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-26a | CSI-RS based RRM for NR-U | CSI-RS based RRM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-27 | Wideband PRACH | 1. Enhanced PRACH design for NR-U by adopting a single long ZC sequence, with ZC sequence = 1151 for 15kHz and ZC sequence = 571 for 30kHz
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |

In [7], following proposal is made.

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| For several FGs, the terminology "for NR-U" is used in the feature group name/component description. To be more accurate, this should be replaced with the agreed terminology "for operation with shared spectrum channel access."**For the following FGs, replace the term "for NR-U" in the feature group name/component description to the agreed terminology "for operation with shared spectrum channel access": FG 10-2i, -26, -26a, -27** |

Based on the above contribution, it is agreed to discuss following point in the email discussion [8].

**Discussion point #2**

* **Whether the term “for NR-U” is replaced by “for operation with shared spectrum channel access” or not for FG10-2i/26/26a/27**

Companies provided following views during the preparation phase discussion [8].

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| Company | Comment |
| Huawei, HiSilicon | Support replacing “for NR-U” by “for operation with shared spectrum channel access” in feature groups descriptions. |
| LG Electronics | We support that “for NR-U” is replaced by “for operation with shared spectrum channel access”. |
| Apple  | Ok for this change.  |

## 3.1 Proposal and discussion

Based on contribution and above inputs during preparation phase discussion, following proposal is made.

### **FL proposal 2:**

* **The term “for NR-U” in FG10-2i/26/26a/27 is replaced by “for operation with shared spectrum channel access”.**

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| 10. NR-unlicensed | 10-2i | CSI-RS-based BFD/CBD for operation with shared spectrum channel access  | CSI-RS-based BFD/CBD for operation with shared spectrum channel access  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-26 | CSI-RS based RLM for operation with shared spectrum channel access  | CSI-RS based RLM for operation with shared spectrum channel access  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-26a | CSI-RS based RRM for operation with shared spectrum channel access  | CSI-RS based RRM for operation with shared spectrum channel access  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-27 | Wideband PRACH | 1. Enhanced PRACH design for operation with shared spectrum channel access by adopting a single long ZC sequence, with ZC sequence = 1151 for 15kHz and ZC sequence = 571 for 30kHz
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |

Companies are encouraged to check above FL proposal and to provide feedback if any in below. If you cannot accept the FL proposals, please put your company name after “Cannot accept the proposals” below and please provide your alternative proposal (in your comment) which could be acceptable to all in your consideration.

 Cannot accept the proposals:

|  |  |
| --- | --- |
| Company | Comment |
| DOCOMO | Support the proposal |
| LG Electronics | Support FL proposal. |
| MediaTek | * We support that the term “for NR-U” is replaced by “for operation with shared spectrum channel access” in FG10-2i/26/26a/27.
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| Huawei, HiSilicon | Agree with the moderator’s proposal |
| Apple  | Support FL’s proposal.  |
| Ericsson | Support FL proposal |

1. Applicability of NR-U features to licensed band

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| 10. NR-unlicensed | 10-9 | Search space set group switching with DCI 2\_0 monitoring | 1. Two groups of search space sets2. Monitor DCI 2\_0 with a search space set switching field 3. Support switching the search space set group with PDCCH decoding in group 1 4. Support a timer to switch back to original search space set group5. Monitor DCI 2\_0 for channel occupancy time and use the end of channel occupancy time to switch back to the original search space set group |  | Yes | N/A |  | Per band  | N/A | N/A | N/A | Being configured with two groups of search spaces, and switch between them. Some search space sets can be configured in both groups. | Optional with capability signalling |
| 10. NR-unlicensed | 10-9b | Search space set group switching with implicit PDCCH decoding without DCI 2\_0 monitoring | 1. Two groups of search space sets2. Support switching the search space set group with PDCCH decoding in group 1 3. Support a timer to switch back to original search space set group |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Being configured with two groups of search spaces, and switch between them. Some search space sets can be configured in both groups. | Optional with capability signalling |
| 10. NR-unlicensed | 10-9c | Joint search space group switching across multiple cells | 1. Configured with a group of cells and switch search space set group jointly over these cells
 | one of {10-9, 10-9b} | Yes | N/A |  | Per BC | N/A | N/A | N/A | Without this capability, the UE will switch search space set groups for different cells independently | Optional with capability signalling |
| 10. NR-unlicensed | 10-9d | Support Search space set group switching capability 2 | 1. Search space set group switching Capability-2: P=10/12/22 symbols for µ = 0/1/2 SCS
 | one of {10-9, 10-9b} | Yes | N/A |  | Per band | N/A | N/A | N/A | Without this capability, the UE supports search space set group switching capability-1: P=25/25/25 symbols for µ=0/1/2 | Optional with capability signalling |
| 10. NR-unlicensed | 10-15 | Enhanced dynamic HARQ codebook | 1. Support of bit fields signalling PDSCH HARQ group index and NFI in DCI 1\_1 (configuration of nfi-TotalDAI-Included)2. Support of bit field in DCI 0\_1 for other group total DAI if configured. (configuration of ul-TotalDAI-Included)3. Support the retransmission of HARQ ACK (pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16) |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Enhanced dynamic HARQ codebook supporting grouping of HARQ ACK and triggering the retransmission of HARQ ACK in each groups | Optional with capability signalling |
| 10. NR-unlicensed | 10-16 | One-shot HARQ ACK feedback | 1. Support feedback of type 3 HARQ-ACK codebook, triggered by a DCI 1\_1 scheduling a PDSCH
2. Support feedback of type 3 HARQ-ACK codebook , triggered by a DCI 1\_1 without scheduling a PDSCH using a reserved FDRA value
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Upon triggering, UE reports A/N for all HARQ processes and all CCs in a PUCCH group.  | Optional with capability signalling |
| 10. NR-unlicensed | 10-20a | Support coreset configuration with rb-Offset | 1. Support coreset configuration with rb-Offset  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |

Following proposals are made in contributions.

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| [2] | **Regarding licensed applicability of FGs**, 3 FGs are agreed to extend to licensed spectrum and 4 FGs are applicable for unlicensed band only as summarized below according to the agreements in RAN1 101-e:

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| 10-8 | Type B PDSCH length {3, 5, 6, 8, 9, 10, 11, 12, 13} without DMRS shift due to CRS collision | Both licensed and unlicensed band |
| 10-11 | SRS starting position at any OFDM symbol in a slot | Both licensed and unlicensed band |
| 10-17 | Multi-PUSCH UL grant | Both licensed and unlicensed band |
| 10-10 | RSSI and channel occupancy measurement and reporting | Unlicensed band only |
| 10-20 | Support search space set configuration with freqMonitorLocation-r16 | Unlicensed band only |
| 10-14 | Non-numerical PDSCH to HARQ-ACK timing | Unlicensed band only |
| 10-28 | Configured grant with Rel-16 enhanced resource configuration | Unlicensed band only |

For other FGs, the baseline for each NRU UE feature should be applicable to unlicensed band only unless it is agreed to extend to licensed band if beneficial for licensed operation. In [2], the following FGs are listed as candidates for continual discussion on whether to extend licensed band:* 10-9 Search space set group switching with explicit DCI 2\_0 bit field trigger or with implicit PDCCH decoding with DCI 2\_0 monitoring
* 10-9b Search space set group switching with implicit PDCCH decoding without DCI 2\_0 monitoring
* 10-9c Joint search space group switching across multiple cells
* 10-9d Support Search space set group switching capability 2
* 10-15 Enhanced dynamic HARQ codebook
* 10-16 One-shot HARQ ACK feedback

For search space set (SS) group switching related features (10-9, 10-9b, 10-9c, 10-9d), it is beneficial for power saving purpose in licensed band, i.e. one SS with sparse PDCCH monitoring in power saving mode and switch to another SS with frequent PDCCH monitoring when traffic arrives. For other features such as 10-15 and 10-16, we do not see the need of extension to licensed band since it is introduced due to LBT requirement on unlicensed band which doesn’t exist in licensed band. ***Proposal 2.1: SS group switching related features (10-9, 10-9b, 10-9c, 10-9d) could be extended to licensed band.******Proposal 2.2: For FGs that are not agreed to be extended to licensed use, they are unlicensed band only in default and add a note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used”.*** |
| [5] | Many issues for NR-U UE features were resolved at RAN1#101-e, including extending the applicability of certain NR-U FGs to licensed bands, reporting type and most FFS points. The list of UE feature groups clearly notes that for some FGs with per band reporting, “the signaling is per band but is only expected for a band where shared spectrum channel access must be used”. This is the case for 10-14, 10-20, 10-28 and 10-10, for which such explicit agreement was made at RAN1#101-e.All the FGs with per band reporting without this note could then be considered as applicable in licensed bands (for example FG10-8 was explicitly agreed to be applicable to licensed bands). But this poses a problem because the note is not present for most FGs. While it may be obvious that the note should have been there for some FGs that are irrelevant for licensed bands (such as those associated with channel access mechanisms), there may be a risk for ambiguity for some other FGs once RAN2 designs the signaling. The FGs for which the note should likely be added are 10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18. 10-21a/21b, 10-24.A number of FFS points remain in agreements made at RAN1#101-e:* FFS: FG10-20a is also applicable to licensed bands (coreset configuration with rb-Offset)
* FFS: FG10-15 is only for unlicensed bands (Enhanced dynamic HARQ codebook)
* FFS: FG10-16 is only for unlicensed bands (One-shot HARQ ACK feedback)
* FFS: FG10-9/9b/9c/9d are also applicable to licensed bands (search space set group switching)

It was not clear whether FG10-17 (Multi-PUSCH UL grant) is applicable to licensed bands, since the FFS point was deleted (~~FFS: FG10-17 is only for unlicensed bands~~) but it was not replaced by an agreement.**Proposal NRU-1: it should be consistently noted that “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” for all FGs that are reported per band but that are not applicable for licensed bands:*** **Add the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” to the following FGs:**
	+ **10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-9/9b/9c/9d, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-20a, 10-21a/21b, 10-24, 10-31**
* **Further discuss applicability of FG10-15 and FG10-16 for licensed bands**
* **Consider allowing FG10-20a (Support coreset configuration with rb-Offset) for licensed bands, for increasing FDRA flexibility for CORESET**
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| [7] | However, it is still FFS (see [3]) on some FGs whether they are applicable to licensed bands or shall be restricted to operation with shared spectrum channel access, namely:* FG 10-9/9b/9c/9d, -15, -16, -20a

In our view, all these FGs are generically useful features, and should be applicable to licensed bands:* FG 10-9/9b/9c/9d are generically useful for UE power saving applications
	+ Note that if FG 10-9 is used in licensed bands, then Component 5 regarding channel occupancy signaling is not needed
* FG-15 and -16 are generically useful HARQ enhancements
* FG 10-20a is useful feature for licensed bands; it is beneficial to be able to PRB align CORESET0 and a regular CORESET to reduce PDCCH blocking.
1. The following FGs are applicable to licensed operation (i.e., NOT restricted to shared spectrum channel access only): 10-9/9b/9c/9d, -15, -16, -20a. For FG 10-9 in licensed bands, Component 5 is not required.

~As discussed above, this feature is generically useful for UE power saving applications regardless of the licensed/unlicensed operation. Hence, we propose**FGs 10-9/9b/9c/9d are supported for licensed bands. For operation in licensed bands, Component 5 of FG 10-9 is not needed.** ~As discussed above, this feature provides a generically useful enhancement to dynamic HARQ codebooks regardless of licensed/unlicensed operation. Hence, we propose**FGs 10-15 is supported for licensed bands.**~As discussed above, this feature provides a generically useful enhancement and gives the gNB the option to request HARQ feedback when needed for example to in case of dropped HARQ-ACK codebook which can occur in licensed band due to prioritization. This feature is very useful regardless of licensed/unlicensed operation. Hence, we propose**FGs 10-16 is supported for licensed bands.**~As discussed above, this feature is generically useful to reduce PDCCH blocking regardless of licensed/unlicensed operation. Hence, we propose**FG 10-20a is supported for licensed bands.** |

Based on the above contributions, it is agreed to discuss following point in the email discussion [8].

**Discussion point #3**

* **Whether each of FGs10-9/9b/9c/9d/15/16/20a is applicable to licensed bands or not (i.e., the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added)**
	+ **Whether the note is added for 10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24, 10-31**

Companies provided following views during the preparation phase discussion [8].

|  |  |
| --- | --- |
| Company | Comment |
| Huawei, HiSilicon | Support adding the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” to all FGs below:10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24, 10-31We don’t see a need to extend FGs10-9/9b/9c/9d as well as 10-15 and 10-16 to licensed operation. There could be slightly more motivation for extending 10-20a to licensed bands, but while in all theses cases one can foresee some benefits it could be argued the extension is not strictly needed or doesn’t provide strong benefits. |
| LG Electronics | We don’t see the strong motivation to extend FGs10-9/9b/9c/9d/15/16/20a in licensed bands. |

## 4.1 Proposal and discussion

Based on contribution and above inputs during preparation phase discussion, following proposals are made.

For FGs clearly for operation with shared spectrum channel access, it is proposed to add the note as for FG10-10/20/14/31/28.

### **FL proposal 3:**

* **The note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added for following FGs**
	+ **10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24.**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 10. NR-unlicensed | 10-1 | UL channel access for dynamic channel access mode  | 1. Type 1 channel access and contention window size adjustment2. Type 2A channel access3. Type 2B channel access4. Type 2C channel access5. 20MHz LBT bandwidth6. CP extension up to 1 symbol for PUSCH/PUCCH transmission |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-1a | UL channel access for semi-static channel access mode | 1. Type 2C channel access2. Single sensing slot of 9us channel access3. 20MHz LBT bandwidth4. CP extension up to 1 symbol for PUSCH/PUCCH transmission |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2 | SSB-based RRM for dynamic channel access mode | 1. SSB-based RRM with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2a | SSB-based RRM for semi-static channel access mode | 1. SSB-based RRM with Q for semi-static channel access mode, when SMTC window is no longer than the fixed frame period |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2b | MIB reading on unlicensed cell | 1. MIB reading on unlicensed cell for PCell and PSCell |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2c | SSB-based RLM for dynamic channel access mode | 1. SSB-based RLM with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2d | SSB-based RLM for semi-static channel access mode | 1. SSB-based RLM with Q for semi-static channel access mode, when DRS window is no longer than the fixed frame period |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2f | Support monitoring of extended RAR window | 1. Support of RAR extension from 10ms to 40ms by decoding of the 2-bit SFN indication in DCI 1\_0 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2g | SSB-based BFD/CBD for dynamic channel access mode | SSB-based BFD/CBD with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-2h | SSB-based BFD/CBD for semi-static channel access mode | SSB-based BFD/CBD with Q for semi-static channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-2i | CSI-RS-based BFD/CBD for NR-U | CSI-RS-based BFD/CBD for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | [10-19a] | DL wideband carrier operation mode 1 | Support of DL wideband carrier operation mode 1: single carrier wideband operation when LBT is successful in all LBT sub-bands of [BWP/carrier] |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | [10-19b] | DL wideband carrier operation mode 2 | Support of DL wideband carrier operation mode 2: single wideband carrier when LBT is successful in a subset of the LBT sub-bands which are contiguous |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | [10-19c] | DL wideband carrier operation mode 3 | Support of DL wideband carrier operation mode 3: single wideband carrier when LBT is successful in a subset of the LBT sub-bands which are non-contiguous |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | [10-19d] | UL wideband carrier operation mode 1 | Support of UL wideband carrier operation mode 1: UE transmits only if LBT passes for all LBT sub-bands of BWP |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | [10-19e] | UL wideband carrier operation mode 2A | Support of UL wideband carrier operation mode 2A: UE transmits if LBT passes for single scheduled LBT sub-band |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | [10-19f] | UL wideband carrier operation mode 2B | Support of UL wideband carrier operation mode 2B: UE transmits if LBT passes for scheduled multiple contiguous LBT sub-bands |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-23 | CGI reading on unlicensed cell for ANR functionality | 1. Support acquisition of relevant information from a neighbouring NR unlicensed cell in an unlicensed carrier by reading the RMSI of the neighbouring unlicensed cell and reporting the acquired information to the network |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support reading RMSI from an unlicensed cell for ANRthe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-25 | Enable configured UL transmissions when SFI field in DCI 2\_0 is configured but DCI 2\_0 is not detected | 1. Support configuration of enableConfiguredUL-r16 and enable transmission of higher-layer configured UL \*SRS, PUCCH, CG-PUSCH etc) when SFI field in DCI 2\_0 is configured but DCI 2\_0 is not detected |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-27 | Wideband PRACH | 1. Enhanced PRACH design for NR-U by adopting a single long ZC sequence, with ZC sequence = 1151 for 15kHz and ZC sequence = 571 for 30kHz
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-29 | Support available RB set indicator field in DCI 2\_0 | 1. Support monitoring DCI 2\_0 to read availableRB-Sets-r16
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-30 | Support channel occupancy duration indicator field in DCI 2\_0 | 1. Support monitoring DCI 2\_0 to read COT duration
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-26 | CSI-RS based RLM for NR-U | CSI-RS based RLM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-26a | CSI-RS based RRM for NR-U | CSI-RS based RRM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-3 | PRB interlace mapping for PUSCH | 1. PRB interlace frequency domain resource allocation for PUSCH |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support of PRB interlace PUSCHthe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-3a | PRB interlace mapping for PUCCH | 1. PRB interlace frequency domain resource allocation for PUCCH format 0 and format 1
2. PRB interlace frequency domain resource allocation for PUCCH format 2
3. PRB interlace frequency domain resource allocation for PUCCH format 3
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support of PRB interlace PUCCH format 0/1the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-12 | OCC for PRB interlace mapping for PF2 and PF3 | 1. OCC22. OCC4 | 10-3a | Yes | N/A |  | Per band | N/A | N/A | N/A | UE OCC capability for EPF2/EFP3the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-13a | Extended CP range of more than one symbol for CG-PUSCH | 1. UE supports generating a CP extension of length longer than 1 symbol for Configured Grant PUSCH transmission
 | One or both of {5-19, 5-20} | Yes | N/A |  | Per band | N/A | N/A | N/A | How long a UE can generate the CP extension beyond 1 symbol for CG-PUSCHthe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-18 | Configured grant with retransmission in CG resources  | 1. Support retransmission in CG resources2. Support configured grant retransmission timer3. Support DFI monitoring4. Support CG-UCI in CG-PUSCH | One or both of {5-19, 5-20} | Yes | N/A |  | Per band | N/A | N/A | N/A | Support configured grant with retransmission in configured grant resourcethe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-21a | Support using ED threshold given by gNB for UL to DL COT sharing | 1. Use ULtoDL-CO-SharingED-Threshold-r16 for Type 1 channel access for scheduled UL to share COT with gNB for DL2. Use ULtoDL-CO-SharingED-Threshold-r16 for Type 1 channel access for CG-PUSCH to share COT with gNB for DL3. Indicate in CG-UCI the COT sharing information | 10-1 | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-21b | Support UL to DL COT sharing | 1. Support Type 1 LBT for scheduled UL to share COT with gNB for DL without ULtoDL-CO-SharingED-Threshold-r162. Support Type 1 LBT for CG-PUSCH to share COT with gNB for DL without ULtoDL-CO-SharingED-Threshold-r163. Indicate in CG-UCI the COT sharing information | 10-1 | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-24 | CG-UCI multiplexing with HARQ ACK | 1. Support multiplexing CG-UCI with HARQ ACK | 10-18 | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |

Companies are encouraged to check above FL proposal and to provide feedback if any in below. If you cannot accept the FL proposals, please put your company name after “Cannot accept the proposals” below and please provide your alternative proposal (in your comment) which could be acceptable to all in your consideration.

 Cannot accept the proposals:

|  |  |
| --- | --- |
| Company | Comment |
| DOCOMO | Support the proposal in general.For FG10-2f, as it is proposed in FL proposal 1 that the note “there is no associated capability signaling, and all UEs capable of NR-U standalone/DC deployment scenarios are required to support this feature” is added for FG10-2f, the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is not necessary. |
| LG Electronics | Support FL proposal. For FG 10-2f, as we commented in FL proposal 1, further discussion may be needed. |
| MediaTek | We prefer that the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added for 10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24, 10-31. |
| Huawei, HiSilicon | Agree with the moderator’s proposal |
| Ericsson | Support FL proposal |

For FGs 10-9/9b/9c/9d/15/16/20a, following proposals are made based on contributions and inputs during the preparation phase discussion.

### **FL proposal 4:**

* **The FG10-9/9b/9c/9d are also applicable to licensed bands.**
* **The FG10-20a is also applicable to licensed bands.**
* **The FG10-15/16 are only applicable to unlicensed bands, and the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added for the FGs.**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 10. NR-unlicensed | 10-15 | Enhanced dynamic HARQ codebook | 1. Support of bit fields signalling PDSCH HARQ group index and NFI in DCI 1\_1 (configuration of nfi-TotalDAI-Included)2. Support of bit field in DCI 0\_1 for other group total DAI if configured. (configuration of ul-TotalDAI-Included)3. Support the retransmission of HARQ ACK (pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16) |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Enhanced dynamic HARQ codebook supporting grouping of HARQ ACK and triggering the retransmission of HARQ ACK in each groupsthe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-16 | One-shot HARQ ACK feedback | 1. Support feedback of type 3 HARQ-ACK codebook, triggered by a DCI 1\_1 scheduling a PDSCH
2. Support feedback of type 3 HARQ-ACK codebook , triggered by a DCI 1\_1 without scheduling a PDSCH using a reserved FDRA value
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Upon triggering, UE reports A/N for all HARQ processes and all CCs in a PUCCH group. the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |

Companies are encouraged to check above FL proposal and to provide feedback if any in below. If you cannot accept the FL proposals, please put your company name after “Cannot accept the proposals” below and please provide your alternative proposal (in your comment) which could be acceptable to all in your consideration.

 Cannot accept the proposals:

|  |  |
| --- | --- |
| Company | Comment |
| DOCOMO | Support the proposal.For FG10-15/16, following observations were made in RAN1#101-e. As the combination of eType2/Type3 HARQ feedback and the two priorities of HARQ-ACK is not supported in Rel.16, the benefit for applying FG10-15/16 to lisenced bands is limited. Enhancement for licensed bands can be discussed in Rel.17 URLLC/IIoT.Observations:Examples of joint configurations/signaling for eURLLC and NR-U that can work in Rel-16:* Example 1: Handling of NNK1 value (dl-DataToUL-ACK-r1 with value -1) with Type-2 HARQ-ACK codebook and two HARQ-ACK codebook priorities (when UE is provided with PDSCH-HARQ-ACK-CodebookList-r16), using DCI format 1\_1 and/or DCI format 1\_2, when the NNK1 value is signaled in DCI format 1\_1.

Examples of joint configurations/signaling for eURLLC and NR-U that cannot work in Rel-16:* Example 2: Joint configuration of Enhanced Type-2 HARQ-ACK codebook and two HARQ-ACK codebook priorities (when UE is provided with PDSCH-HARQ-ACK-CodebookList-r16)
	+ RAN1’s understanding is that the RRC parameter PDSCH-HARQ-ACK-CodebookList-r16 cannot configure the UE with Enhanced Type-2 HARQ-ACK codebook, although RAN1 specifications can support reporting with Enhanced Type-2 HARQ-ACK codebook when two HARQ-ACK codebook priorities can be indicated using DCI format 1\_1/1\_0, and can also support handling of NNK1 value in this case
* Example 3: Reporting Type-3 HARQ-ACK codebook when different HARQ processes have been scheduled with different PUCCH priorities (when UE is provided with PDSCH-HARQ-ACK-CodebookList-r16)
 |
| LG Electronics | Support FL proposal for FG 10-15 and FG 10-16. However, we don’t see a strong motivation/benefit to extend FG 10-9/9b/9c/9d/20a in licensed bands. |
| MediaTek | * We prefer not to extend FGs10-9/9b/9c/9d/15/16/20a for licensed operation unless use cases and benefits are clearly justified.
 |
| Huawei, HiSilicon | We agree with LG’s and Mediatek’s comments. |
| Apple | We shared MTK’s views and prefer not to extend them. It should be noted that there are still some modifications are needed if we want to extend the FG 10-9x to licensed band as being discussed in different Rel-17 power saving agenda. Considering the current maitainance stage, we would prefer to limit it to licensed and have a full study and extend it to licensed in Rel-17 if benefit is justified. On FG 10-20a, we understand there can have some scheduling flexibility literally. However, we fail to see a clear use case. Simliarly, FG 15/16 are being discussed as part of Rel-17 URLLC WI already.  |
| Ericsson | * We support the 1st bullet of the FL proposal
	+ This functionality is generic – and indeed beneficial – to enable power saving at the UE. Hence, this feature should be applicable also to licensed bands. We understand that Compoonent 5 of 10-9 that refers to monitoring DCI 2\_0 for channel "channel occupancy" is not relevant for licensed operation. However, the spec supports not configuring this field in DCI 2\_0 in which case the UE switches back to monitoring the default search space group at the end of the indicated SFI (or timer expiry, which ever occurs first). Hence, 10-9 and 10-9b are relevant in licensed bands.
* We support the 2nd bullet of the FL proposal
	+ This functionaly is beneficial for licensed bands to enable shifting a CORESET off the 6-RB grid to enable alignment with CORESET0 (which is not restricted to the 6-RB grid). This is a useful feature in both licensed and unlicensed bands to enable efficient use of control channel resources and reduce PDCCH blocking.
* For the 3rd bullet, we disagree with FL proposal and propose instead: **The FG10-15/16 are applicable to licensed bands**. These HARQ enhancements are generic in nature, and are beneficial for operation in licensed bands.
	+ The functionalities developed for these two features (as a result of extensive work), enable mechanisms to request AGAIN HARQ-ACK feedback when gNB has missed the reception of HARQ-ACK feedback. A strong motivation under NR-U was LBT failure as UE, but we fail to understand that the only use case for such features can be limited to compensate for LBT failure. Firstly, it is well understood that HARQ-ACK miss detection can occur also in licensed band. For example, gNB  may miss reception of PUCCH due to interference. Secondly, during Rel-16, priority based transmission is extensively developed which means that low priority transmissions (including HARQ-ACK) may be dropped due to sudden arrival of high priority traffic. These features can be used to request the dropped HARQ-ACK without retransmission of corresponding DL traffic which is of great importance for efficient operation of NR. Lastly, extensive efforts were made during Rel-16 NR-U to develop these features (including NNK1). Limiting the outcome of efforts to only one use case and create artificial restrictions, result in spending specification efforts to develop new features with similar functionalities, resulting in fragmentation of the spec and additional, unecssary UE capability signaling.
 |

1. Conclusion

**FL proposal 1:**

* **The note “there is no associated capability signaling, and all UEs capable of NR-U standalone/DC deployment scenarios are required to support this feature” is added for FG10-2f.**

**FL proposal 2:**

* **The term “for NR-U” in FG10-2i/26/26a/27 is replaced by “for operation with shared spectrum channel access”.**

**FL proposal 3:**

* **The note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added for following FGs**
	+ **10-1/1a/2/2a/2b/2c/2d/2f/2g/2h/2i, 10-19a/b/c/d/e/f, 10-23, 10-25, 10-27, 10-29, 10-30, 10-26/26a, 10-3, 10-3a, 10-12, 10-13a, 10-18, 10-21a/21b, 10-24.**

**FL proposal 4:**

* **The FG10-9/9b/9c/9d are also applicable to licensed bands.**
* **The FG10-20a is also applicable to licensed bands.**
* **The FG10-15/16 are only applicable to unlicensed bands, and the note “the signaling is per band but is only expected for a band where shared spectrum channel access must be used” is added for the FGs.**

Reference

[1] R1-2006462 Updated RAN1 UE features list for Rel-16 NR Moderators (AT&T, NTT DOCOMO, INC.)

[2] R1-2005361 Remaining issues on Rel-16 UE features vivo

[3] R1-2005423 Discussion on NR Rel-16 UE Features ZTE

[4] R1-2005781 Views on Rel-16 UE features MediaTek Inc.

[5] R1-2005814 Remaining details of Rel-16 NR UE features Huawei, HiSilicon

[6] R1-2006677 Remaining aspects of Rel-16 UE features Nokia, Nokia Shanghai Bell

[7] R1-2006874 Remaining details of Rel-16 NR UE features Ericsson

[8] R1-2006709 Summary on UE features for NR-U Moderator (NTT DOCOMO, INC.)

Appendix: UE features list for NR-U in [1]

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Features | Index | Feature group | Components | Prerequisite feature groups | Need for the gNB to know if the feature is supported | Applicable to the capability signalling exchange between UEs (V2X WI only)”. | **Consequence if the feature is not supported by the UE** | **Type****( 1) Per UE or 2) Per Band or 3) Per BC or 4) Per FS or 5) Per FSPC)** | Need of FDD/TDD differentiation | Need of FR1/FR2 differentiation | Capability interpretation for mixture of FDD/TDD and/or FR1/FR2 | Note | Mandatory/Optional |
| 10. NR-unlicensed | 10-1 | UL channel access for dynamic channel access mode  | 1. Type 1 channel access and contention window size adjustment2. Type 2A channel access3. Type 2B channel access4. Type 2C channel access5. 20MHz LBT bandwidth6. CP extension up to 1 symbol for PUSCH/PUCCH transmission |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-1a | UL channel access for semi-static channel access mode | 1. Type 2C channel access2. Single sensing slot of 9us channel access3. 20MHz LBT bandwidth4. CP extension up to 1 symbol for PUSCH/PUCCH transmission |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2 | SSB-based RRM for dynamic channel access mode | 1. SSB-based RRM with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2a | SSB-based RRM for semi-static channel access mode | 1. SSB-based RRM with Q for semi-static channel access mode, when SMTC window is no longer than the fixed frame period |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2b | MIB reading on unlicensed cell | 1. MIB reading on unlicensed cell for PCell and PSCell |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2c | SSB-based RLM for dynamic channel access mode | 1. SSB-based RLM with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2d | SSB-based RLM for semi-static channel access mode | 1. SSB-based RLM with Q for semi-static channel access mode, when DRS window is no longer than the fixed frame period |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2e | SIB1 reception on unlicensed cell | 1. SIB1 reception on unlicensed cell for PCell |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2f | Support monitoring of extended RAR window | 1. Support of RAR extension from 10ms to 40ms by decoding of the 2-bit SFN indication in DCI 1\_0 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-2g | SSB-based BFD/CBD for dynamic channel access mode | SSB-based BFD/CBD with Q for dynamic channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signaling |
| 10. NR-unlicensed | 10-2h | SSB-based BFD/CBD for semi-static channel access mode | SSB-based BFD/CBD with Q for semi-static channel access mode |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Q indicates the value of RAN1 parameter $N\_{SSB}^{QCL}$ | Optional with capability signaling |
| 10. NR-unlicensed | 10-2i | CSI-RS-based BFD/CBD for NR-U | CSI-RS-based BFD/CBD for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-7 | UL channel access for 10 MHz SCell  | 1. 10 MHz LBT bandwidth
 | one of {10-1, 10-1a} | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-10 | RSSI and channel occupancy measurement and reporting | 1. RSSI measurement
2. Channel occupancy reporting
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-11 | SRS starting position at any OFDM symbol in a slot | 1. Support transmitting SRS starting in all symbols (0,…,13) of a slot
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-20 | Support search space set configuration with freqMonitorLocation-r16 | 1. Maximum number of frequency domain locations for a search space set configuration with freqMonitorLocations-r16 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Candidate values of component 1: {1, 2, ,3, 4, 5}the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-20a | Support coreset configuration with rb-Offset | 1. Support coreset configuration with rb-Offset  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-23 | CGI reading on unlicensed cell for ANR functionality | 1. Support acquisition of relevant information from a neighbouring NR unlicensed cell in an unlicensed carrier by reading the RMSI of the neighbouring unlicensed cell and reporting the acquired information to the network |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support reading RMSI from an unlicensed cell for ANR | Optional with capability signaling |
| 10. NR-unlicensed | 10-25 | Enable configured UL transmissions when SFI field in DCI 2\_0 is configured but DCI 2\_0 is not detected | 1. Support configuration of enableConfiguredUL-r16 and enable transmission of higher-layer configured UL \*SRS, PUCCH, CG-PUSCH etc) when SFI field in DCI 2\_0 is configured but DCI 2\_0 is not detected |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-27 | Wideband PRACH | 1. Enhanced PRACH design for NR-U by adopting a single long ZC sequence, with ZC sequence = 1151 for 15kHz and ZC sequence = 571 for 30kHz
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-29 | Support available RB set indicator field in DCI 2\_0 | 1. Support monitoring DCI 2\_0 to read availableRB-Sets-r16
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-30 | Support channel occupancy duration indicator field in DCI 2\_0 | 1. Support monitoring DCI 2\_0 to read COT duration
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalingThis FG may be a part of basic operation for a particular scenario |
| 10. NR-unlicensed | 10-8 | Type B PDSCH length {3, 5, 6, 8, 9, 10, 11, 12, 13} without DMRS shift due to CRS collision | 1. Type B PDSCH length {3, 5, 6, 8, 9, 10, 11, 12, 13} without DMRS shift due to CRS collision
 | 5-6a | Yes | N/A |  | Per band | N/A | N/A | N/A | Note length 9/10 with DMRS shift due to CRS collision are already covered by 14-2 | Optional with capability signalling |
| 10. NR-unlicensed | 10-9 | Search space set group switching with DCI 2\_0 monitoring | 1. Two groups of search space sets2. Monitor DCI 2\_0 with a search space set switching field 3. Support switching the search space set group with PDCCH decoding in group 1 4. Support a timer to switch back to original search space set group5. Monitor DCI 2\_0 for channel occupancy time and use the end of channel occupancy time to switch back to the original search space set group |  | Yes | N/A |  | Per band  | N/A | N/A | N/A | Being configured with two groups of search spaces, and switch between them. Some search space sets can be configured in both groups. | Optional with capability signalling |
| 10. NR-unlicensed | 10-9b | Search space set group switching with implicit PDCCH decoding without DCI 2\_0 monitoring | 1. Two groups of search space sets2. Support switching the search space set group with PDCCH decoding in group 1 3. Support a timer to switch back to original search space set group |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Being configured with two groups of search spaces, and switch between them. Some search space sets can be configured in both groups. | Optional with capability signalling |
| 10. NR-unlicensed | 10-9c | Joint search space group switching across multiple cells | 1. Configured with a group of cells and switch search space set group jointly over these cells
 | one of {10-9, 10-9b} | Yes | N/A |  | Per BC | N/A | N/A | N/A | Without this capability, the UE will switch search space set groups for different cells independently | Optional with capability signalling |
| 10. NR-unlicensed | 10-9d | Support Search space set group switching capability 2 | 1. Search space set group switching Capability-2: P=10/12/22 symbols for µ = 0/1/2 SCS
 | one of {10-9, 10-9b} | Yes | N/A |  | Per band | N/A | N/A | N/A | Without this capability, the UE supports search space set group switching capability-1: P=25/25/25 symbols for µ=0/1/2 | Optional with capability signalling |
| 10. NR-unlicensed | 10-14 | Non-numerical PDSCH to HARQ-ACK timing | 1. Support configuration of a value for dl-DataToUL-ACK indicating an inapplicable time to report HARQ ACK
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | If non-numerical K1 value is supportedthe signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |
| 10. NR-unlicensed | 10-15 | Enhanced dynamic HARQ codebook | 1. Support of bit fields signalling PDSCH HARQ group index and NFI in DCI 1\_1 (configuration of nfi-TotalDAI-Included)2. Support of bit field in DCI 0\_1 for other group total DAI if configured. (configuration of ul-TotalDAI-Included)3. Support the retransmission of HARQ ACK (pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16) |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Enhanced dynamic HARQ codebook supporting grouping of HARQ ACK and triggering the retransmission of HARQ ACK in each groups | Optional with capability signalling |
| 10. NR-unlicensed | 10-16 | One-shot HARQ ACK feedback | 1. Support feedback of type 3 HARQ-ACK codebook, triggered by a DCI 1\_1 scheduling a PDSCH
2. Support feedback of type 3 HARQ-ACK codebook , triggered by a DCI 1\_1 without scheduling a PDSCH using a reserved FDRA value
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Upon triggering, UE reports A/N for all HARQ processes and all CCs in a PUCCH group.  | Optional with capability signalling |
| 10. NR-unlicensed | 10-17 | Multi-PUSCH UL grant | 1. Support of scheduling up to 8 PUSCH with a single DCI 0\_1  |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | [10-19a] | DL wideband carrier operation mode 1 | Support of DL wideband carrier operation mode 1: single carrier wideband operation when LBT is successful in all LBT sub-bands of [BWP/carrier] |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | [10-19b] | DL wideband carrier operation mode 2 | Support of DL wideband carrier operation mode 2: single wideband carrier when LBT is successful in a subset of the LBT sub-bands which are contiguous |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | [10-19c] | DL wideband carrier operation mode 3 | Support of DL wideband carrier operation mode 3: single wideband carrier when LBT is successful in a subset of the LBT sub-bands which are non-contiguous |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | [10-19d] | UL wideband carrier operation mode 1 | Support of UL wideband carrier operation mode 1: UE transmits only if LBT passes for all LBT sub-bands of BWP |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | [10-19e] | UL wideband carrier operation mode 2A | Support of UL wideband carrier operation mode 2A: UE transmits if LBT passes for single scheduled LBT sub-band |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | [10-19f] | UL wideband carrier operation mode 2B | Support of UL wideband carrier operation mode 2B: UE transmits if LBT passes for scheduled multiple contiguous LBT sub-bands |  | Yes | N/A |  | Per band | N/A | N/A | N/A | These FGs 10-19a/b/c/d/e/f are examples on what RAN1 ask RAN2 to reserve capability bits in LS R1-2004965 | Optional with capability signalling |
| 10. NR-unlicensed | 10-26 | CSI-RS based RLM for NR-U | CSI-RS based RLM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-26a | CSI-RS based RRM for NR-U | CSI-RS based RRM for NR-U |  | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-31 | Support of P/SP-CSI-RS reception with CSI-RS-ValidationWith-DCI-r16 configured | 1. Validate P/SP-CSI-RS reception when receiving a DCI granting a PDSCH over the same set of symbols2. Validate P/SP-CSI-RS reception when receiving a DCI triggering a A-CSI-RS over the same set of symbols |  | Yes | N/A |  | Per band | N/A | N/A |  | If UE does not signal capability for FG 10-31, the UE cannot be configured with CSI-RS-ValidationWith-DCI-r16.If none of the RRC parameters CO-DurationPerCell-r16, SlotFormatIndicator, and CSI-RS-ValidationWith-DCI-r16 is configured on a cell with shared spectrum access, and P/SP CSI-RS is configured, for reception/cancellation of SP/P CSI-RS the behavior in 11.1 of TS38.213 applies as per agreement.the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signaling |
| 10. NR-unlicensed | 10-3 | PRB interlace mapping for PUSCH | 1. PRB interlace frequency domain resource allocation for PUSCH |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support of PRB interlace PUSCH | Optional with capability signalling |
| 10. NR-unlicensed | 10-3a | PRB interlace mapping for PUCCH | 1. PRB interlace frequency domain resource allocation for PUCCH format 0 and format 1
2. PRB interlace frequency domain resource allocation for PUCCH format 2
3. PRB interlace frequency domain resource allocation for PUCCH format 3
 |  | Yes | N/A |  | Per band | N/A | N/A | N/A | Support of PRB interlace PUCCH format 0/1 | Optional with capability signalling |
| 10. NR-unlicensed | 10-12 | OCC for PRB interlace mapping for PF2 and PF3 | 1. OCC22. OCC4 | 10-3a | Yes | N/A |  | Per band | N/A | N/A | N/A | UE OCC capability for EPF2/EFP3 | Optional with capability signalling |
| 10. NR-unlicensed | 10-13a | Extended CP range of more than one symbol for CG-PUSCH | 1. UE supports generating a CP extension of length longer than 1 symbol for Configured Grant PUSCH transmission
 | One or both of {5-19, 5-20} | Yes | N/A |  | Per band | N/A | N/A | N/A | How long a UE can generate the CP extension beyond 1 symbol for CG-PUSCH | Optional with capability signalling |
| 10. NR-unlicensed | 10-18 | Configured grant with retransmission in CG resources  | 1. Support retransmission in CG resources2. Support configured grant retransmission timer3. Support DFI monitoring4. Support CG-UCI in CG-PUSCH | One or both of {5-19, 5-20} | Yes | N/A |  | Per band | N/A | N/A | N/A | Support configured grant with retransmission in configured grant resource | Optional with capability signalling |
| 10. NR-unlicensed | 10-21a | Support using ED threshold given by gNB for UL to DL COT sharing | 1. Use ULtoDL-CO-SharingED-Threshold-r16 for Type 1 channel access for scheduled UL to share COT with gNB for DL2. Use ULtoDL-CO-SharingED-Threshold-r16 for Type 1 channel access for CG-PUSCH to share COT with gNB for DL3. Indicate in CG-UCI the COT sharing information | 10-1 | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-21b | Support UL to DL COT sharing | 1. Support Type 1 LBT for scheduled UL to share COT with gNB for DL without ULtoDL-CO-SharingED-Threshold-r162. Support Type 1 LBT for CG-PUSCH to share COT with gNB for DL without ULtoDL-CO-SharingED-Threshold-r163. Indicate in CG-UCI the COT sharing information | 10-1 | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signaling |
| 10. NR-unlicensed | 10-24 | CG-UCI multiplexing with HARQ ACK | 1. Support multiplexing CG-UCI with HARQ ACK | 10-18 | Yes | N/A |  | Per band | N/A | N/A | N/A |  | Optional with capability signalling |
| 10. NR-unlicensed | 10-28 | Configured grant with Rel-16 enhanced resource configuration | 1. Support configuration of resources with cg-nrofSlots-r16 and cg-nrofPUSCH-InSlot-r16, | One or both of {5-19, 5-20} | Yes | N/A |  | Per band | N/A | N/A | N/A | the signaling is per band but is only expected for a band where shared spectrum channel access must be used | Optional with capability signalling |