**3GPP TSG-RAN WG1 #106bis-e R1-21xxxxx**

**eMeeting, Oct 11 – 19, 2021**

**Source: Moderator (Ericsson)**

**Title: Summary of Email discussion [106bis-e-NR-DSS-01]**

**Agenda item:** **8.13.1**

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

# 1 Introduction

This document summarizes the discussions for email thread [106bis-e-NR-DSS-01] under agenda item 8.13.1 on Cross-carrier scheduling (from SCell to PCell) for the Rel17 WI on NR Dynamic spectrum sharing (DSS).

# 2. Discussion

## 2.1 Moderator Summary

Below is a short moderator summary based on tdocs [1-19] submitted for RAN1#106bis-e

### 2.1.1 PDCCH monitoring and BD/CCE limits

Following aspects were discussed related to PDCCH monitoring and BD/CCE limit handling when CCS from sSCell to PCell/PSCell is configured

#### 2.1.1.1 Type B BD/CCE limits

1. BD/CCE limit handling for Type B UE
   * [based on Option A/C] (from RAN1#106-e agreement) - [4],[6],[7],[8],[9],[13],[16],[17],[18],[19],[2](2nd pref),[3] (if M\_total based on Rel16)
     + Distribution of PDCCH BD candidates between multiple sSCell slots overlapping a P(S)Cell slot (Alt 1,Al2, Alt3 from RAN1#105-e agreement)
       - Alt1 – [2],[19]
       - Alt2 – [2],[4],[6],[7],[17]
       - Alt3 – [9],[18]
     + determining or
       - Scaling factors for (p-p) and (s-p) to count P(S)Cell from two scheduling cells – [2],[3],[8],[9]
       - (p-p) counted once with P(S)Cell SCS, (s-p) not counted – [2], [3],[5],[7],[9],[17]
       - (p-p) counted once with P(S)Cell SCS, (s-p) counted once with sSCell SCS – [17]
     + separate not needed
       - [4],[7],[8],[13],[18]
     + Issue related to UE is not required to monitor more than [ or ] PDCCH BD candidates per sSCell slot
       - * [8],[9],[18]
         * [5],[19]
     + Use for P(S)Cell overbooking procedure -[8],[9]
   * [based on Option C] (from RAN1#106-e agreement) - [1],[2],[5],[10],[12],[14],[15],[3](if M\_total not based on rel16)
     + Allowed combinations of s1 and s2
       - 1 ≤ s1+s2 ≤ 2 – [10, [12]
       - s1 + s2 1 – [2], [15]
   * Same framework for BD and CCE limits but separate scaling factors for CCE limits – [17]
2. Multi-TRP
   * can be supported with BD/CCE handling Option A or Option C – [2]
   * Rel-16 limits can be either directly reused or can be combined with PDCCH monitoring limits for sSCell to P(S)Cell scheduling with single-TRP – [8]
   * additional BD limitations apply for CORESETs with same coresetPoolIndex – [19]
3. Span based monitoring
   * can be supported with BD/CCE handling Option A or Option C – [2]
   * For case of different monitoringCapabilityConfig for the P(S)Cell and the sSCell, count the P(S)Cell as a scheduled cell for both scheduling cells – [8]

#### 2.1.1.2 Type A PDCCH monitoring and BD/CCE limits

1. PDCCH monitoring and BD/CCE limits
   * UE can simultaneously monitor sSCell USS (for PCell scheduling) and Type 0/0A/1/2/CSS for broadcast DCI on P(S)Cell. UE does not expect simultaneous scheduling with unicast DCI. Same BD/CCE handling as Type B UE is reused
     + [18], [17]
   * UE can simultaneously monitor sSCell USS (for PCell scheduling) and Type 0/0A/1/2/CSS on P(S)Cell. Same BD/CCE handling as Type B UE is reused
     + [2],[10],[17],[19], [11] (BD limit?),[12] (BD limit?)
     + [19] – separate definition for Type A not needed
   * Type 0/0A/1/2/CSS on P(S)Cell and sSCell USS (for PCell scheduling) can overlap but UE drops sSCell USS sets in overlapping [symbol/slot]
     + [1],[3],[4],[5],[6],[8],[9],[13],[15]
     + BD/CCE limit for respective cell is applied for a slot that a UE would monitor the corresponding PDCCH – [1]
     + BD/CCE limit based on Option B discussed earlier for Type B UE – [4]
     + No per-slot change in and – [8]
     + Avoiding setting a new blind decoding limits similar to Type B UEs – [13]
     + No proposal for BD/CCE limit – [5],[6],[9],[15]
   * Support same BD/CCE limit handling for Type and Type B -- [7],[3](?)
   * UE capability to monitor PDCCH on only one of P(S)Cell and sSCell in a slot (of smaller SCS) - [8]
   * UE drops Type3 CSS set(s) on PCell if it overlaps with USS set(s) for scheduling P(S)Cell on sSCell – [9]
2. Clarification on [slot/symbol] in RAN1#105e agreement
   * per slot (of P(S)Cell) overlap is avoided – [4], [9],[10]
   * overlapping search space condition is evaluated on a symbol basis – [19]
3. non-fallback USS handling (i.e.,
   * Type A Supports non-fallback DCI format on PCell – [2],[10]

#### 2.1.1.3 General

1. DCI format 2\_5
   * follows Rel16 – [2], [4],[15],[16],
2. DCI format 2\_6
   * Follows Rel16 handling – [2],[4],[9],[15],[16]
   * Can be sent also on sSCell – [10]
3. Use CIF for PCell non-fallback DCI when sSCell is configured – [2],[8],[12],[17],[18],
4. SCell to PCell scheduling for unaligned CA
   * Supported – [6],[10],[17]
5. SCell to PCell scheduling for multicast
   * Supported -- [8],[10]
   * FFS – [6],[3]
6. Handling when sSCell is deactivated/dormant/not available
   * Recovery of BD/CCE budget on P(S)Cell to the Rel-15/Rel-16 budget once sSCell is deactivated or switched to dormant BWP, Fallback to P(S)Cell self-carrier scheduling as if cross-carrier scheduling from sSCell to P(S)Cell is not configured – [2],[3]?,[6],[11],[14],[15],
   * Some USS(s) (for monitoring non-fallback DCI formats) configured on P(S)Cell are monitored when sSCell is deactivated/dormant/not available and not monitored when sSCell is activated – [1] (in case UE only monitors non-fallback DCI formats on sSCell), [4], [17],[19]
   * when sSCell is deactivated/dormant – [10]
   * UE (both Type A and Type B UE) monitors DCI formats 0\_1, 1\_1, 0\_2, 1\_2 on P(S)Cell as configured regardless of whether sSCell is activated or deactivated – [5],[12]
7. Impact on #DL and UL unicast DCI per monitoring occasion/span – [2],[9],[14],[17] (being discussed in UE features email discussion)
8. Do not support P(S)Cell SCS > sSCell SCS – [5], [7], [18]
9. Impact on DCI size budgets – [3]

### 2.1.2 Configuration details for CCS from sSCell to P(S)Cell

1. Search space linking configuration for CCS
   * Use SS linking as in Rel16
     + [2],[10],
   * Use SS linking but with some changes
     + PeriodicityAndOffset, SymbolsWithinSlot, and duration can be configured on linked PCell SS
       - [9]
     + PeriodicityAndOffset, SymbolsWithinSlot, and duration can be separate for sSCell self-scheduling and sSCell to P(S)Cell scheduling
       - [11],[18],[19] (at least monitoringSlotPeriodicityAndOffset)
     + if a SS set configuration includes only the IE for the number of candidates, UE monitors the SS set on sSCell. Otherwise (if a SS set configuration includes all the IEs required for monitoring), UE monitors the SS set on P(S)Cell
       - [12]
2. SCell to PCell scheduling configured per USS set -- [6],[15]
3. Separate config of UL and DL DCI formats – [17]
4. Clarify that *SearchSpace* configured on P(S)Cell having linked *SearchSpace* on sSCell in the same cell-group/PUCCH-group is not monitored on the P(S)Cell – [18]
5. RRC configuration details for CCS from sSCell to PCell/PSCell (How to indicate using CrossCarrierSchedulingConfig) – [8] (being discussed in RRC parameter email discussion)

### 2.1.3 Remaining details on scheduling framework

1. Dynamic activation/activation of sSCell to P(S)Cell scheduling – [2]
2. simultaneous replacement of a deactivated/dormant sSCell by a new sSCell, or DCI/MAC CE based indication of sSCell – [8],[14]?

### 2.1.4 Other aspects

1. SCell to PCell/PSCell scheduling has no impact on PUCCH or PUSCH/SRS for non-CA – [19]
2. Whether sSCell can be unlicensed band? – [14]
3. BFR/RLF enhancement? – [4]

Below are some proposals for discussion

## 2.2 Proposals

### Proposal 1

* At least for Type B UE, when the UE is configured for CCS from sSCell to P(S)Cell and when P(S)Cell SCS (μ) is less than or equal to sSCell SCS (μ1), and at least when UE is not provided monitoringCapabilityConfig for any cell
  + On P(S)Cell (for self-scheduling)
    - UE is not required to monitor more than PDCCH BD candidates per P(S)Cell slot
  + On sSCell (for cross-carrier scheduling to P(S)Cell)
    - UE is not required to monitor more than [ or ] PDCCH BD candidates per sSCell slot
    - UE is additionally not required to monitor more than PDCCH BD candidates per P(S)Cell slot
  + is based on RRC configuration
  + is used for P(S)Cell overbooking procedure
  + When determining and
    - P(S)Cell self-scheduling is counted by applying scaling factor s1
    - sSCell to P(S)Cell scheduling is counted additionally (assuming SCS of sSCell) by applying scaling factor s2
    - and are based on RRC configuration
      * FFS: additional constraints on s1 and s2 e.g., 1 ≤ s1+s2 ≤ 2 or s1 + s2 1
    - Note: is as in Rel16
  + UE capability/incapability indication for below to be discussed as part of UE features discussion
    - All search space configurations monitored on sSCell for cross-carrier scheduling to P(S)Cell are within a single span of 3 consecutive OFDM symbols within a duration spanning P(S)Cell slot
* Same approach as above is used for CCE limits
  + FFS: Separate vs. same RRC configured scaling factors (corresponding to , s1, s2) for BD and CCE limits.

Companies are requested to indicate their view on the above proposal in the Table below

|  |  |
| --- | --- |
| **Company Name** | **Comments (Proposal 1)** |
| Moderator notes | Above proposal taking into account discussions so far and inputs from different companies summarized in point 1 of section 2.1.1.1. |
| Apple | In princple, we are fine with proposal. We have the following comments   1. s1 and s2 needs to be based on the UE capability as well, i.e., NW cannot configure some value that is smaller than UE reported capability if we allow NW configuration |
|  |  |

### Discussion Point 2

* Companies are encouraged to provide their view on the following on how to proceed for Type A UE
  + Possible Approach 1
    - All UEs (supporting cross-carrier scheduling from SCell to PCell) can simultaneously monitor ‘USS sets (for P(S)Cell scheduling) on sSCell’ and ‘Type 0/0A/1/2/CSS sets on P(S)Cell at least for broadcast DCI formats’
    - BD/CCE limits for Type B UEs are applicable for all UEs
    - Separate UE capability/incapability is introduced to indicate support/no support of simultaneous monitoring of ‘USS sets (for P(S)Cell scheduling) on sSCell’ and ‘Type 0/0A/1/2/CSS sets on P(S)Cell for unicast DCI formats’
  + Possible Approach 2
    - All UEs (supporting cross-carrier scheduling from SCell to PCell) can be configured with Type 0/0A/1/2/CSS sets on P(S)Cell that overlap with sSCell USS sets (for P(S)Cell scheduling)
    - Type A UEs drop the USS set(s) on sSCell (for P(S)Cell scheduling) that overlap in same [symbol/slot] as Type 0/0A/1/2/CSS sets on P(S)Cell
      * Separate UE capability is introduced for the Type A UEs
    - BD/CCE limit for Type A UE is based on one of the following approaches
      * Option B (discussed earlier for Type B UEs)
      * Option D
        + In a slot, if the PDCCH candidates are only configured on P(S)Cell, the BD/CCE limit on this slot is determined based on the P(S)Cell configurations
        + In a slot, if the PDCCH candidates are configured only on sSCell, the BD/CCE limit on this slot is determined based on the sSCell configurations
        + The limit of Rel-16 UE capability is applied without further restrictions
      * Option E
        + No per-slot change in and
  + Discuss further the following (this related to *“…DCI formats 0\_1,1\_1,0\_2,1\_2 (if supported for Type A UE).*.” part in RAN1#105e agreement and the WA from RAN1#104-e)
    - For Possible Approach 1
      * Whether UEs not supporting simultaneous monitoring of ‘Type 0/0A/1/2/CSS sets on P(S)Cell for unicast DCIs’ and ‘USS sets (for P(S)Cell scheduling) on sSCell’ support monitoring of non-fallback USS on P(S)Cell when configured for SCell to P(S)cell scheduling
    - For Possible Approach 2
      * Whether Type A UEs support monitoring of non-fallback USS on P(S)Cell when configured for SCell to P(S)cell scheduling
  + Note
    - ‘broadcast DCI formats’ implies DCI format(s) on Type 0/0A/1/2/CSS with CRC not scrambled by C-RNTI/MCS-C-RNTI/CS-RNTI
    - ‘unicast DCI formats’ implies DCI format(s) on Type 0/0A/1/2/CSS with CRC scrambled by C-RNTI/MCS-C-RNTI/CS-RNTI

|  |  |
| --- | --- |
| **Company Name** | **Comments (Discussion Point 2)** |
| Moderator notes | Above taking into account discussions so far and inputs from different companies summarized in point 1 of section 2.1.1.2.  Intention is to arrive at complete (or at least nearly complete) proposals on how to handle Type A UEs. Possible Approach 2 is based on Alt2 of Proposal 2v3 discussed in RAN1#106-e. Possible Approach 1 is based on Alt1/3 and the inputs on need for Type A UE if Alt2 is not supported (i.e., according to *“•FFS: Whether Type A is specified or is Type-B with restrictions (as part of UE features discussion)*” in RAN1#105-e agreement)  Please provide your view on above approaches including   * BD/CCE limit handling for Type A UE in Possible Approach 2 (Note - the listed approaches are based on inputs summarized in point 1 of section 2.1.1.2)   + For comparing the various options, P(S)Cell with 15kHz SCS and 1 or 4 SCells with 30kHz SCS can be used as an example scenario (same scenarios used in Type B UE discussions) * The discussion related to “…*DCI formats 0\_1,1\_1,0\_2,1\_2 (if supported for Type A UE)*..” part in RAN1#105e agreement and the WA from RAN1#104-e |
| Apple | I believe we agreed that fallback DCI can also be monitored on Type 0/0A/1/2/CSS sets because of the DCI size alignment and no additional UE complexity (only RNTI difference). We think we need more discussion about different proposals |

### Proposal 3 (for conclusion)

* When sSCell to PCell cross-carrier scheduling is configured, DCI format 2\_6 (if configured) is monitored only on P(S)Cell

Companies are requested to indicate their view in the Table below

|  |  |
| --- | --- |
| **Company Name** | **Comments (Proposal 3)** |
| Moderator notes | Above proposal taking into account inputs from different companies (summarized as point 2 in section 2.1.1.3) |
| Apple | We are fine with the proposal |

### Proposal 4

* When CIF for sSCell to PCell cross-carrier scheduling is configured, non-fallback DCI formats on P(S)Cell include same number of CIF bits as the corresponding non-fallback DCI formats on sSCell that are used for sSCell to P(S)Cell scheduling

Companies are requested to indicate their view in the Table below

|  |  |  |
| --- | --- | --- |
| **Company Name** | **Support/ Not support** | **Comments (Proposal 4)** |
| Moderator notes |  | Above proposal taking into account inputs from different companies (summarized as point 3 in section 2.1.1.3) |
| Apple |  | We are fine with the proposal |

### Proposal 5 (for conclusion)

* A UE configured for cross-carrier scheduling from SCell to P(S)Cell can also be configured with unaligned CA (i.e., using *ca-SlotOffset* )

Companies are requested to indicate their view in the Table below

|  |  |
| --- | --- |
| **Company Name** | **Comments (Proposal 5)** |
| Moderator notes | Above proposal taking into account inputs from different companies (summarized as point 4 in section 2.1.1.3) |
| Apple | We are open to discuss, maybe to introduce separte UE capability. |

### Proposal 6

* For a UE configured for cross-carrier scheduling from sSCell to P(S)Cell, when sSCell is deactivated, a mechanism to support monitoring of additional PDCCH monitoring candidates/DCI formats on P(S)Cell is supported
  + The additional PDCCH monitoring candidates/DCI formats are not monitored on P(S)Cell when sSCell is activated
  + FFS whether the additional PDCCH monitoring candidates/DCI formats are in
    - additional SS set(s) that are not monitored on P(S)Cell when sSCell is activated
    - SS set(s) that are monitored on P(S)Cell when sSCell is activated

Companies are requested to indicate their view in the Table below

|  |  |
| --- | --- |
| **Company Name** | **Comments (Proposal 6)** |
| Moderator notes | Above proposal taking into account inputs from different companies (summarized as point 6 in section 2.1.1.3)  Note: The issue related to “…*DCI formats 0\_1,1\_1,0\_2,1\_2 (if supported for Type A UE)*..” part in RAN1#105e agreement and the WA from RAN1#104-e is being discussed as part of Discussion point 2. |
| Apple | We are not sure about the motivation.  The WI is motivated or justified by assuming that gNB needs sSCell to offload the PDCCH monitorin. Now we are discussing shifting PDCCH monioting from sSCell back to SpCell. We are not sure if there is any real issue in deployment anymore.  We think this should be a low priority thing. |

### Proposal 7

* For UEs configured with sSCell to P(S)Cell scheduling
  + For the linked search space in the scheduled cell (P(S)Cell), additional IEs under the IE SearchSpace other than searchSpaceId and nrofCandidates can be present,
    - The additional IEs include monitoringSlotPeriodicityAndOffset, duration, monitoringSymbolsWithinSlot
    - The additional IEs provide the configuration for PDCCH monitoring on sSCell (for P(S)Cell scheduling)

Companies are requested to indicate their view in the Table below

|  |  |  |
| --- | --- | --- |
| **Company Name** | **Support/ Not support** | **Comments (Proposal 7)** |
| Moderator notes |  | based on inputs summarized in point 1 of section 2.1.2 |
| Apple |  | Then we need some machanism to toggle the interpretation, i.e., which SS set should UE check for those additonal IEs.  Even though we agree that the current CCS configuration in terms of SS set configuration is not the most desirable, but if we change it, we prefer to change to for CCS as a whole instead of just the sSCell. |

# 3 Conclusions

TBD

# 4 References

1. R1-2108773 Discussion on SCell PDCCH scheduling P(S)Cell PDSCH or PUSCH Huawei, HiSilicon
2. R1-2108855 Discussion on Cross-Carrier Scheduling from SCell to PCell ZTE
3. R1-2108929 Discussion on cross-carrier scheduling from SCell to Pcell Spreadtrum Communications
4. R1-2109005 Discussion on Scell scheduling Pcell vivo
5. R1-2109098 Discussion on cross-carrier scheduling from Scell to Pcell OPPO
6. R1-2109306 Discussion on cross-carrier scheduling from SCell to Pcell CMCC
7. R1-2109390 Discussion on cross-carrier scheduling from SCell to PCell Xiaomi
8. R1-2109518 Cross-carrier scheduling from SCell to PCell Samsung
9. R1-2109551 On Cross-Carrier Scheduling from sSCell to P(S)Cell MediaTek Inc.
10. R1-2109636 On SCell scheduling PCell transmissions Intel Corporation
11. R1-2109704 Discussion on cross-carrier scheduling enhancements for NR DSS NTT DOCOMO, INC.
12. R1-2109820 Discussion on cross-carrier scheduling from SCell to Pcell ETRI
13. R1-2109895 Discussion on cross carrier scheduling from sSCell to PCell InterDigital, Inc.
14. R1-2109938 Cross-carrier scheduling (from Scell to Pcell) Lenovo, Motorola Mobility
15. R1-2109987 Discussion on cross-carrier scheduling from SCell to Pcell LG Electronics
16. R1-2110059 Views on Rel-17 DSS SCell scheduling PCell Apple
17. R1-2110141 Enhanced cross-carrier scheduling for DSS Ericsson
18. R1-2110213 Cross-carrier scheduling from an SCell to the PCell/PSCell Qualcomm Incorporated
19. R1-2110376 On cross-carrier scheduling from SCell to Pcell Nokia, Nokia Shanghai Bell

# 5 Annex A – Agreements from previous meetings

## Agreements from RAN1#102-e

Agreements:

* Following scheduling combinations are allowed/not allowed when cross-carrier scheduling from an SCell to PCell/PSCell is configured  
  1. self-scheduling on PCell/PSCell is allowed
  2. cross-carrier scheduling from PCell/PSCell to another SCell is not allowed
  3. self-scheduling on the ‘SCell used for scheduling PCell/PSCell’ is allowed
  4. cross-carrier scheduling from the ‘SCell used for scheduling PCell/PSCell’ to another serving cell is allowed
  5. cross-carrier scheduling from another serving cell to the ‘SCell used for scheduling PCell/PSCell’ is not allowed
* FFS: Search space and DCI format handling for the allowed cases above

Agreements:

* Configuring 2 or more Scells to schedule the PCell/PSCell is not allowed

## Agreements from RAN1#103-e

**Conclusion**

* When CCS from sSCell to PCell/PSCell is configured, the configuration of Type 3 CSS set for DCI formats 2\_0, 2\_1, 2\_2, 2\_3, 2\_4 and applicability of the information in the DCI formats are the same as in Rel-15/Rel-16
  + FFS: DCI format 2\_5 and DCI Format 2\_6 handling
* Note: The SCell configured with CCS to Pcell/PSCell is referred to as ‘sSCell’

**Conclusion**

* When the PCell/PSCell and sSCell use different numerologies, the PDSCH reception preparation time between the PDCCH on the sSCell and the PDSCH on the PCell/PSCell is applied (i.e., as specified in TS38.214 Section 5.5).

Agreements:

* When CCS from an SCell (sSCell) to PCell/PSCell is configured, UE monitors Type 0/0A/1/2 CSS sets (for the DCI formats associated with those SS sets) only on the PCell/PSCell and not on the sSCell
  + Note: UE monitors Type 0/0A/2 CSS only on PCell while Type 1 CSS can be monitored on PCell/PSCell

Agreements:

* Discuss in RAN1#104-e how to handle ‘DCI formats 0\_1,1\_1,0\_2,1\_2 scheduling PDSCH/PUSCH on PCell/PSCell’ from USS set(s), when CCS from sSCell to PCell/PSCell is configured.. Below alternatives can be considered in the discussion (other alternatives are not precluded)
* ~~Below alternatives can be considered in the discussion (other alternatives are not precluded)~~
  + Alt 1: ~~When CCS from sSCell to PCell/PSCell is configured,~~ UE cannot be configured to monitor DCI formats 0\_1,1\_1,0\_2,1\_2 on PCell/PSCell USS set(s), and can be configured to monitor them only on the sSCell USS set(s)
  + Alt 2: ~~When CCS from sSCell to PCell/PSCell is configured,~~ UE can be configured to monitor DCI formats 0\_1/1\_1/0\_2/1\_2 on PCell/PSCell USS set(s), and/or on sSCell USS set(s). The PDCCH monitoring is based on following alternatives (other alternatives are not precluded)
    - Alt 2-1:
      * UE can monitor DCI formats 0\_1,1\_1,0\_2,1\_2 on both PCell USS set(s) and sSCell USS sets simultaneously
        + ~~FFS activation/deactivation of scheduling from sSCell to PCell/PSCell~~
    - Alt 2-2:
      * Dynamic switching of PDCCH monitoring of DCI formats 0\_1,1\_1,0\_2,1\_2 between monitoring on PCell/PSCell USS sets and monitoring on sSCell USS sets is supported
        + FFS: Details of switching mechanism (~~e.g. based on SS group switching, based on BWP switching,…~~)
      * UE does not monitor DCI formats 0\_1,1\_1,0\_2,1\_2 on both PCell USS set(s) and sSCell USS sets simultaneously
    - Alt 2-3:
      * UE does not monitor the same DCI format on both PCell USS set(s) and sSCell USS sets simultaneously. UE can monitor some DCI formats on sSCell USS sets and other DCI formats on PCell/PSCell USS sets simultaneously
    - Alt 2-4:
      * The USS set(s) on PSCell/PCell and the USS set(s) on sSCell are configured such that UE does not monitor DCI formats 0\_1,1\_1,0\_2,1\_2 on both PCell USS set(s) and sSCell USS set(s) simultaneously
* FFS following aspects
  + Impact of sSCell activation/deactivation and sSCell dormancy
  + Impact on BD/CCE limit handling ~~including considering PDCCH monitoring on CSS sets and PDCCH monitoring of ‘DCI formats 0\_0, 1\_0 scheduling PUSCH/PDSCH on PCell/PSCell’~~
  + Whether PDCCH overbooking on sSCell is supported or not supported and impact (if any) on overbooking handling on PCell/PSCell
  + Impact from different numerologies between PDCCH on the PCell/PSCell and that on the sSCell
  + Whether or not to have mechanism for activation/deactivation of scheduling from sSCell to PCell/PSCell
  + USS configuration details (e.g. handling of USS type (self-scheduling, cross carrier scheduling) for a ~~configured~~ USS set configured for scheduling of ~~in~~ PCell/PSCell)

## Agreements from RAN1#104-e

**Agreement**

When CCS from sSCell to PCell/PSCell is configured,

* Out of order scheduling is not allowed between a) PDSCH on PCell/PSCell scheduled by PDCCH on PCell/PSCell and b) PDSCH on PCell/PSCell scheduled by PDCCH on sSCell
* Out of order scheduling is not allowed between a) PUSCH on PCell/PSCell scheduled by PDCCH on PCell/PSCell and b) PUSCH on PCell/PSCell scheduled by PDCCH on sSCell

FFS: Whether this agreement requires RAN1 specification impact.

**Agreement**

When CCS from sSCell to PCell/PSCell is configured,

* Simultaneous reception of a) unicast PDSCH on PCell/PSCell scheduled from PCell/PSCell and b) unicast PDSCH on PCell/PSCell scheduled from sSCell is not allowed
* Simultaneous transmission of a) PUSCH on PCell/PSCell scheduled from PCell/PSCell and b) PUSCH on PCell/PSCell scheduled from sSCell is not allowed
* Note: Simultaneous implies full/partial time overlapping

FFS: Whether this agreement requires RAN1 specification impact.

**Agreement**

* When CCS from sSCell to PCell/PSCell is configured, CA activation/deactivation operation for the sSCell is supported

**Working Assumption**

* When CCS from sSCell to PCell/PSCell is configured, UE can be configured to monitor DCI formats 0\_1/1\_1/0\_2/1\_2 that schedule PDSCH/PUSCH on PCell/PSCell on PCell/PSCell USS set(s), and/or on sSCell USS set(s)
* The WA to be confirmed after agreements are made on PDCCH BD/CCE handling and PDCCH overbooking handling for CCS from sSCell to PCell/PSCell
* Specs also allow UEs supporting functionality of only Alt-1. Capability signaling details, if any, can be handled during the UE capability discussion for Rel17
* FFS: Whether the UE can monitor PDCCH from both cells in the same slot.

**Agreement**

* When CCS from sSCell to PCell/PSCell is configured, UE monitors ‘DCI formats 0\_0 and 1\_0 in CSS that schedule PDSCH/PUSCH on PCell/PSCell’ only on the PCell/PSCell and not on the sSCell

## Agreements from RAN1#104b-e

**Agreement**

* When CCS from sSCell to PCell/PSCell is configured
  + CIF=0 used for sSCell self-scheduling, and CIF for sSCell to PCell cross-carrier scheduling is explicitly configured using RRC signalling

**Agreement**

PDCCH overbooking on sSCell USS set(s) is not allowed

Following was captured in RAN1 Chairman notes

**For RAN1#105-e, companies are encouraged to consider:**

* Further discuss PDCCH monitoring and BD/CCE limit handling in RAN1#105e considering below BD/CCE limit handling options
  + Option A
    - At least when P(S)Cell SCS is not higher than sSCell SCS, PDCCH monitoring candidates on P(S)Cell and/or sSCell are configured such that max of (x1(m1)+x2(m1))+max of y(m2) corresponding to any P(S)Cell slots m1 and m2 is less than or equal to Z1
    - At least the case of Z1 = 44 is supported for P(S)Cell SCS 15kHz
      * FFS if Z1 larger than above can also be supported based on UE capability (e.g. similar to *BDFactorR* in Rel16)
    - FFS signalling details on how the limit Z1 is realized, e.g.
      * RRC configured BD limit/scaling factor-based limit for max(x1(m)+x2(m))
      * Separate RRC configured BD limits/scaling factor-based limits for max(x1(m)+x2(m)) and max(y(m))
      * separate BdfactorR for P(S)Cell and sSCell
      * SS configuration-based BD limit for max(x1(m)+x2(m)) and max(y(m))
      * RRC configured BD limit/scaling factor-based limit for max(x1(m)+x2(m))+ max(y(m))
      * Counting ‘sSCell-to-P(S)Cell’ scheduling as an additional scheduling cell with numerology given by sSCell numerology in determining the BD/CCE limits
    - FFS reference SCS to use when P(S)Cell has higher SCS than sSCell (if supported)
    - For sSCell scheduling P(S)Cell, the UE is not required to monitor on the active DL BWP with SCS configuration of the sSCell more than PDCCH candidates per slot of sSCell.
      * FFS how limit is computed and applied when CCS from sSCell to P(S)Cell is configured
  + Option B
    - At least when P(S)Cell SCS is not higher than sSCell SCS, For P(S)Cell slot m, PDCCH monitoring candidates on P(S)Cell and/or sSCell are configured such that x1(m)+x2(m)+y(m) is less than or equal to BD limit Z2
    - At least the case of Z2 = 44 is supported for P(S)Cell SCS 15kHz
      * FFS if Z2 larger than above can also be supported based on UE capability (e.g. similar to *BDFactorR* in Rel16)
    - max of (x1(m1)+x2(m1)) + max of y(m2) corresponding to any P(S)Cell slots m1 and m2 ~~can~~ is allowed to be larger than BD limit Z2
    - FFS signalling details on how the limit Z2 is realized
    - FFS reference SCS to use when P(S)Cell has higher SCS than sSCell (if supported)
    - For sSCell scheduling P(S)Cell, the UE is not required to monitor on the active DL BWP with SCS configuration of the sSCell more than PDCCH candidates per slot of sSCell.
      * FFS how limit is computed and applied when CCS from sSCell to P(S)Cell is configured
  + Option C
    - PDCCH monitoring candidates on P(S)Cell are configured such that max of (x1(m1)+x2(m1)) is less than or equal to Z3
      * Z3 is derived by the PDCCH monitoring capability of PCell
    - PDCCH monitoring candidates on sSCell are configured such that max of y(m2) is less than or equal to Z4
      * Z4 is derived by the PDCCH monitoring capability of sSCell
    - FFS details to define Z3 and Z4, e.g.
      * Separate RRC configured BD limits/scaling factor-based limits for max(x1(m)+x2(m)) and max(y(m))
    - For sSCell scheduling P(S)Cell, the UE is not required to monitor on the active DL BWP with SCS configuration of the sSCell more than Z4 PDCCH candidates per slot of sSCell
  + Note
    - x1(m) is #BDs for PDCCH CSS(s) candidates monitored on P(S)Cell slot m
    - x2(m) is #BDs for PDCCH USS(s) candidates monitored on P(S)Cell slot m
    - y(m) is #BDs for PDCCH USS(s) candidates monitored on sSCell in all sSCell slot(s) that overlap slot m of P(S)Cell
    - USS(s) => USS(s) that can schedule PDSCH/PUSCH on P(S)Cell)

## Agreements from RAN1#105-e

**Agreement**

Two types of UEs (Type A and Type B) can support CCS from sSCell to P(S)Cell

* For Type A UE
  + At least following search space sets on P(S)Cell and search space sets on sSCell are configured so that the UE does not monitor them in overlapping [slot/symbol] of P(S)Cell and sSCell
    - search space sets on P(S)Cell
      * USS sets for DCI formats 0\_1,1\_1,0\_2,1\_2 (if supported for Type A UE)
      * USS sets for DCI formats 0\_0,1\_0
      * Type3-CSS set(s) for DCI formats 1\_0/0\_0 with C-RNTI/CS-RNTI/MCS-C-RNTI
    - search space sets on sSCell
      * USS set(s) for scheduling P(S)Cell
  + FFS: BD/CCE handling
* For Type B UE
  + Following search space sets on P(S)Cell and search space sets on sSCell can be configured so that the UE monitors them in overlapping [slot/symbol] of P(S)Cell and sSCell
    - search space sets on P(S)Cell
      * USS sets for DCI formats 0\_0,1\_0
      * Type3-CSS set(s) for DCI formats 1\_0/0\_0 with C-RNTI/CS-RNTI/MCS-C-RNTI
    - search space sets on sSCell
      * USS set(s) for scheduling P(S)Cell
  + For handling ‘USS sets for scheduling P(S)Cell’ on P(S)Cell and/or on sSCell for DCI formats 0\_1,1\_1,0\_2,1\_2
    - Alt 2-1 is adopted
  + There is no restriction on Type-0/0A/1/2-CSS sets configurations
  + FFS: BD/CCE handling
* For Type A and/or Type B UE
  + FFS: switching to ‘normal’ PDCCH monitoring on P(S)Cell when sSCell is deactivated
* FFS: Whether Type A is specified or is Type-B with restrictions (as part of UE features discussion)
* FFS: Whether the UE can be configured with unaligned CA
* FFS: Whether the above applies for multicast PDSCH

**Discuss further in RAN1#106-e:**

* For at least Type B UE, downselect from one of the BD/CCE limit handling options below
  + [based on Option A/C] When UE is configured for CCS from sSCell to P(S)Cell and when P(S)Cell SCS () is less than or equal to sSCell SCS ()
    - On P(S)Cell (for self-scheduling)
      * UE is not required to monitor more than PDCCH BD candidates per P(S)Cell slot
      * UE is not required to monitor more than
        + Alt1

PDCCH BD candidates per P(S)Cell slot

* + - * + Alt2

PDCCH BD candidates per P(S)Cell slot

* + - On sSCell (for cross-carrier scheduling to P(S)Cell)
      * UE is not required to monitor more than PDCCH BD candidates per slot of sSCell
      * UE is not required to monitor more than
        + Alt1

PDCCH BD candidates per P(S)Cell slot

* + - * + Alt2:

PDCCH BD candidates per P(S)Cell slot

* + - At least case of is supported.
      * FFS case of
      * FFS multi-TRP case
    - FFS following
      * Selection between Alt1 vs. Alt2 above
      * Whether separate and are configured by RRC or if and only is configured
      * How the PDCCH BD candidates are distributed between multiple sSCell slots overlapping a P(S)Cell slot when and whether the BD limits for sSCell are specified per sSCell slot or per P(S)Cell slot
  + [based on Option B] When UE is configured for CCS from sSCell to P(S)Cell and when when P(S)Cell SCS () is less than or equal to sSCell SCS ()
    - On P(S)Cell (for self-scheduling)
      * UE is not required to monitor more than PDCCH BD candidates per slot of P(S)Cell
    - On sSCell (for cross-carrier scheduling to P(S)Cell)
      * UE is not required to monitor more than PDCCH BD candidates per slot of sSCell
    - Considering both PDCCH BD candidates for P(S)Cell self-scheduling on P(S)Cell and PDCCH BD candidates for sSCell to P(S)SCell cross-carrier scheduling on sSCell
      * UE is not required to monitor more than
        + Alt 1

PDCCH BD candidates per P(S)Cell slot

* + - * + Alt 2

PDCCH BD candidates per P(S)Cell slot

* + - FFS: selection between Alt-1 and Alt-2
  + FFS: whether/how the definition of or is modified compared to Rel16 when UE is configured with CCS from sSCell to P(S)Cell

## Agreements from RAN1#106-e

**Agreement**

Specification supports dormant BWP operation on sSCell for a UE is configured CCS from sSCell to P(S)Cell.

Agreement

* When CCS from sSCell to P(S)Cell is configured for a UE
  + at least the number of PDCCH monitoring candidates monitored on sSCell (for scheduling P(S)Cell) is indicated to the UE using the SS set linking approach as in Rel16
  + ~~FFS: If any modifications to Rel16 approach are introduced for~~ *~~monitoringSlotPeriodicityAndOffset, monitoringSymbolsWithinSlot, duration~~* ~~for the PDCCH monitoring candidates monitored on sSCell (for scheduling P(S)Cell)~~

Agreement

* At least for Type B UE, when the UE is configured for CCS from sSCell to P(S)Cell and when P(S)Cell SCS () is less than or equal to sSCell SCS (), and at least when UE is not provided monitoringCapabilityConfig for any cell, down select one from [based on Option A/C] or [based Option C] below
  + [based on Option A/C]
    - On P(S)Cell (for self-scheduling)
      * UE is not required to monitor more than PDCCH BD candidates per P(S)Cell slot
    - On sSCell (for cross-carrier scheduling to P(S)Cell)
      * UE is not required to monitor more than [ or ] PDCCH BD candidates per sSCell slot (Note: this is assumed per Rel16)
      * UE is additionally not required to monitor more than PDCCH BD candidates per P(S)Cell slot
    - and are based on RRC configuration and at least cases o~~f~~ are supported
    - FFS the following for [based on Option A/C]
      * Distribution of PDCCH BD candidates between multiple sSCell slots overlapping a P(S)Cell slot including whether the above additional BD limitation is defined per sSCell slot or per P(S)Cell slot.
        + Discuss further using following alternatives as starting point (other alternatives/further refinement of alternatives not precluded)

Alt1

The additional BD limitation is per sSCell slot with further limitation that UE is not required to monitor more than PDCCH BD candidates per sSCell slot

Alt 2

The additional BD limitation is per P(S)Cell slot and no further restrictions

Alt 3

The additional BD limitation is per P(S)SCell slot with below further limitation

All search space configurations monitored on sSCell for cross-carrier scheduling to P(S)Cell are within a single span of 3 consecutive OFDM symbols within a duration spanning P(S)Cell slot

* + - * Whether/how the definition of or is modified compared to Rel16 when UE is configured with CCS from sSCell to P(S)Cell
      * Whether separate and are configured by RRC or if and only is configured
  + [based on Option C]
    - On P(S)Cell (for self-scheduling)
      * UE is not required to monitor more than PDCCH BD candidates per P(S)Cell slot
    - On sSCell (for cross-carrier scheduling to P(S)Cell)
      * UE is not required to monitor more than PDCCH BD candidates per sSCell slot
    - When determining and
      * P(S)Cell self-scheduling is counted by applying scaling factor s1,
      * sSCell to PCell scheduling is counted additionally (assuming SCS of sSCell) by applying scaling factor s2
    - and
    - FFS the following
      * + Allowed combinations of s1 and s2 , and whether they are fixed or configured via RRC
        + Whether/how the definition of or is modified compared to Rel16 when UE is configured with CCS from sSCell to P(S)Cell
* FFS the following
  + Multi-TRP handling
  + PDCCH BD handling when monitoringCapabilityConfig = r16monitoringcapability is configured for any cell

**Agreement**

* Endorse below TP to 38.300 from RAN1 perspective
* Send LS to RAN2 with the TP and list of RAN1 agreements, to update Stage 2 spec are needed to reflect the RAN1 agreements

----------------------------------------- start TP1 for 38.300 v.xyz -------------------------------------------

10.8 Cross Carrier Scheduling

Cross-carrier scheduling with the Carrier Indicator Field (CIF) allows the PDCCH of a serving cell to schedule resources on another serving cell but with the following restrictions:

- ~~Cross-carrier scheduling does not apply to Pcell i.e~~. When cross-carrier scheduling from an SCell to Pcell is not configured, Pcell can only be ~~is always~~ scheduled via its PDCCH;

- When cross-carrier scheduling from an SCell to Pcell is configured, PDCCH on that SCell can schedule Pcell’s PDSCH and PUSCH, and PDCCH on the Pcell can also schedule Pcell’s PDSCH and PUSCH, and PDCCH on Pcell cannot schedule PDSCH and PUSCH on any other cell. Only one SCell can be configured to be used for cross-carrier scheduling to Pcell;

- When an SCell is configured with a PDCCH, that cell’s PDSCH and PUSCH are always scheduled by the PDCCH on this SCell;

- When an SCell is not configured with a PDCCH, that SCell’s PDSCH and PUSCH are always scheduled by a PDCCH on another serving cell;

- The scheduling PDCCH and the scheduled PDSCH/PUSCH can use the same or different numerologies.

--------------------------------------------------- end TP1 -----------------------------------------------

Draft LS [R1-2108576](file:///C:\Users\Docs\R1-2108576.zip) is endorsed in principle

Final LS [R1-2108662](file:///C:\Users\Docs\R1-2108662.zip) is endorsed