**3GPP TSG RAN WG1 Meeting #104-e R1-210yyyy**

**E-meeting, January 25th – February 5th, 2021**

**Source: Moderator (vivo)**

**Title: Discussion summary #1 of [104-e-NR-52-71GHz-05]**

**Agenda item: 8.2.5**

**Document for: Discussion and decision**

# Introduction

In this contribution, we summarize issues regarding PDSCH/PUSCH enhancements for new SCSs on supporting NR from 52.6 GHz to 71 GHz for the following email discussion in RAN1 #104-e.

[104-e-NR-52-71GHz-05] Email discussion/approval on defining maximum bandwidth for new SCSs, timeline related aspects adapted to each of the new numerologies 480kHz and 960kHz and reference signals with checkpoints for agreements on Jan-28, Feb-02, Feb-05 – Huaming (Vivo)

Note that the scope of agenda 8.2.5 including defining maximum bandwidth for new SCSs, time line related aspects adapted to each of the new numerologies 480kHz and 960kHz, reference signals, scheduling particularly w.r.t. multi-PDSCH/PUSCH with a single DCI, HARQ, etc. In this summary, only issues related to bandwidth for new SCSs, time line related aspects adapted to each of the new numerologies 480kHz and 960kHz and reference signals are summarized. Issues related to scheduling particularly w.r.t. multi-PDSCH/PUSCH with a single DCI, HARQ are not in the scope of this summary.

# PDSCH/PUSCH enhancements for new SCSs

In this section, we provide a summary of issues, observations and proposals related to PDSCH/PUSCH enhancements for new SCSs discussed in the submitted contributions.

As in WID, the related objectives for this summary of agenda 8.2.5 are the following.

* Physical layer aspects including [RAN1]:
  + In addition to 120kHz SCS, specify new SCS, 480kHz and 960kHz, and define maximum bandwidth(s), for operation in this frequency range for data and control channels and reference signals, only NCP supported.

Note: Except for timing line related aspects, a common design framework shall be adopted for 480kHz to 960kHz

* + Time line related aspects adapted to 480kHz and 960kHz, e.g., BWP and beam switching timing, HARQ timing, UE processing, preparation and computation timelines for PDSCH, PUSCH/SRS and CSI, respectively.
  + Evaluate, and if needed, specify the PTRS enhancement for 120kHz SCS, 480kHz SCS and/or 960kHz SCS, as well as DMRS enhancement for 480kHz SCS and/or 960kHz SCS.

## 2.1. Maximum and minimum channel bandwidth(s)

### Individual observations/proposals

The following are individual observations/proposals from the contributions.

|  |  |
| --- | --- |
| Sources | Observations/proposals |
| [3, ZTE] | Observation 1: Aligned and misaligned channelization show similar performance in coexistence scenario.  Proposal 1: The following options are proposed for channelization for Rel-17 NR beyond 52.6 GHz, wherein Option 2 is preferred.   * Option 1: Align the channelization of Rel-17 NR with Wi-Fi design at least in unlicensed band (e.g. 57 GHz - 71 GHz) * Option 1-1: Support a basic unit of 2.16 GHz channel bandwidth * Option 1-2: Divide X of 400 MHz, Y of 800 MHz and Z of 1600 MHz per 2.16 GHz bandwidth. Where X = 0 to 5, Y = 0 to 2, and Z = 0 to 1. * In other licensed frequency band (e.g. 52.6 GHz - 57 GHz) or in a controlled environment without Wi-Fi devices, it can be designed uniformly with unlicensed band or independently * Option 2: No need to align the channelization of Rel-17 NR with Wi-Fi design even in unlicensed band. Support the same bandwidth(s) (e.g. 400/800/1600 MHz) in licensed and unlicensed frequency bands * Option 2-1: Support a nominal channel bandwidth of 2.16 GHz by the aggregation of above basic bandwidth(s) (e.g. 400/800/1600MHz) * Option 2-2: No need to support a nominal channel bandwidth of 2.16 GHz   Proposal 2: The maximum channel bandwidth for the new SCSs 480/960 kHz can be defined as 1600 MHz. |
| [5, Huawei] | Proposal 2: For NR operating in 52.6-71 GHz, the supported minimum carrier bandwidth is 200 MHz for 120 kHz and 480 kHz SCS. The minimum carrier bandwidth is 400 MHz with 960 kHz SCS.  Proposal 3: The maximum carrier bandwidth depends on the subcarrier spacing:  • 400 MHz for 120 kHz SCS  • 1600 MHz for 480 kHz SCS  • FFS for 960 kHz SCS, e.g. 3200, 2400 or 2000 MHz (ask RAN4) |
| [6, Nokia] | Proposal 1: For operation without CA, support the following CBWs: 400 MHz (120 kHz), 1600 MHz (480 kHz) and 2.16 GHz (960 kHz).  Observation 1: Maximum BW for 480 kHz SCS, limited by the number of RBs per carrier, is 1.6 GHz.  Observation 2: With 960 kHz SCS, the maximum bandwidth is limited by the sampling rate. Increased sampling rate allows to increase the peak data rate and spectrum efficiency by up-to 6% with 2.16 GHz CBW  Observation 3: There are two options available for 960 kHz SCS  • Option 1: Don’t support higher sampling rate. Maximum number of PRBs with 960 kHz SCS is 170.  • Option 2: Support a higher sampling rate. Maximum number of PRBs is (e.g.) 178 or 180. |
| [7, CAICT] | Proposal 1: The maximum bandwidth for 480 and 960kHz SCS could consider the impact of LBT bandwidth. |
| [8, CATT] | Proposal 1: The maximum system bandwidth should be supported up to 1.6 GHz. The system analysis of supporting more than 1.6 GHz system BW should be supported with the condition of not changing of the value of Tc. |
| [9, vivo] | Proposal 1: Define the maximum supportive carrier/BWP bandwidths with different numerologies as Table 1, i.e. BW of 400 MHz for SCS of 120 KHz, BW of 1.6 GHz for SCS of 480 KHz, and BW of 2GHz for SCS of 960 KHz.  Proposal 9: The basic time unit should be re-defined for 960KHz when operation from 52.6-71GHz and its spec impact should be studied. |
| [12, Intel] | Proposal 1   * Minimum supported bandwidth of 400 MHz for any SCS. * Maximum supported bandwidth of 1600 MHz for 480 kHz SCS. * Maximum supported bandwidth of 2000 MHz for 960 kHz SCS.   + 2000 MHz could be supported without changes to Tc = 1/(480e3 \* 4096) even for 960 kHz.   + For 960kHz, up to 170 PRB can be supported without changing Tc. This results 1.9584 GHz which should be sufficiently large enough occupied bandwidth for 2GHz channel. Most likely the actual occupied channel defined by RAN4 will be smaller than 170 PRB. * The maximum number of PRB that RAN1 considers for 480kHz is 275, and 960kHz is 170. Up to RAN4 to define the exact PRB sizes for each channel bandwidth. |
| [14, Spreadtrum] | Proposal 1: Consider the maximum channel bandwidth as shown in the following table for the respective numerologies.   |  |  | | --- | --- | | Subcarrier spacing (numerology μ) | Maximum CC BW size assuming 4096 FFT size | | 120 kHz (μ = 3) | 400MHz | | 480 kHz (μ = 5) | 1600MHz | | 960 kHz (μ = 6) | 3200MHz | |
| [15, InterDigital] | Proposal 1: Support multiples of the current NR maximum bandwidth 400 MHz up to 2 GHz in 52.6 – 71 GHz.  Proposal 2: Consider potential coexistence issues with other RATs in the spectrum of 52.6 GHz to 71 GHz with 2.16 GHz maximum bandwidth. |
| [16, Sony] | Observation 1: CA (either inter-band or intra-band) can be supported, but we prefer not to rely on CA with maximum bandwidth 400MHz per carrier to achieve 2.16GHz bandwidth.  Proposal 1: Maximum bandwidth supported using a 960 kHz SCS should be 2.16 GHz. |
| [17, LG] | Proposal #1: For 480 kHz SCS and 960 kHz SCS, 1.6 GHz and 2.16 GHz are supported as maximum bandwidth, respectively. |
| [18, NEC] | Proposal 5: For 120kHz and 240KHz, Hz. For 960kHz, Hz. |
| [20, Samsung] | Proposal 1: Support maximum channel bandwidth as approximate 2 GHz (exact value up to RAN4) and no change to T\_c is needed. |
| [21, Ericsson] | Observation 6 From a RAN1 perspective, it is feasible to define a maximum channel bandwidth in the range B = [2000 .. 2160] MHz for the case of 960 kHz SCS with FFT size 4096.  Observation 7 From a RAN1 perspective, it is feasible to define a maximum channel bandwidth B ≈ 1600 MHz for the case of 480 kHz SCS with FFT size 4096. The precise value of B depends on the desired FFT utilization and desired spectral utilization. For example, B = 1635.84 MHz achieves FFT utilization of 75% and spectral utilization ≈ 90%, similar to values achieved in FR2.  Proposal 15 Inform RAN4 that from a RAN1 perspective it is feasible to define the maximum channel bandwidth for 960 kHz SCS to be in the range B = [2000 .. 2160 MHz] and for 480 kHz SCS as B ≈ 1600 MHz, using an FFT size of 4096. The precise values of B depend at least on the desired channelization design, the desired spectral utilization value (ratio of transmission BW configuration to channel BW), and a target FFT utilization value. |
| [23, Charter] | Proposal 1: 1.6 GHz channelization is supported for both new SCSs and as the maximum supported bandwidth for 480kHz SCS.  Proposal 2: 2.16 GHz is the maximum supported bandwidth for 960kHz SCS. |
| [24, Apple] | Proposal 1: Multiple carrier bandwidths should be specified with carrier bandwidths that are multiples of about 400 MHz  Proposal 2: The maximum channel bandwidth of about 2.16 GHz should be used for co-existence with the existing 802.11ad/ay channel allocation with no overlap between a single NR channel and multiple 802.11ad/ay channels.  Proposal 3: For 120 kHz and 480 kHz, 2 GHz channel bandwidth transmission can be achieved by carrier aggregation. |
| [26, NTT DoCoMo] | Proposal 1: For maximum carrier bandwidth,   * 1.6 GHz should be supported with 480 kHz SCS * At least about 2 GHz should be supported with 960 kHz SCS   + Larger than 2.16 GHz can also be discussed further |

### Summary on bandwidth(s)

Based on the contributions, there are three sub issues discussed in the contributions, (1) maximum channel bandwidth, (2) minimum channel bandwidth, (3) channelization

#### Maximum channel bandwidth

The following options are proposed from the contributions on the maximum channel bandwidth.

Table 1 Maximum channel/carrier BW with different numerologies

|  |  |
| --- | --- |
| **Numerology** | **Maximum channel/carrier bandwidth** |
| (120 K, NCP) | 400MHz |
| (480 K, NCP) | 1600MHz: [3, ZTE], [5, Huawei], [6, Nokia], [8, CATT], [9, vivo], [12, Intel], [17, LG], [23, Charter], [26, NTT DoCoMo], (≈ 1600MHz, [21, Ericsson]) |
| (960 K, NCP) | Option 1: 1600MHz: [3, ZTE], [8, CATT]  Option 2: 2000MHz: [9, vivo], [12, Intel], [15, InterDigital], (≈ 2000MHz, [20, Samsung]), [21, Ericsson], (≈ 2000MHz, [26, NTT DoCoMo])  Option 3: 2160MHz: [6, Nokia], [16, Sony], [17, LG], [21, Ericsson], [23, Charter], (≈ 2160MHz, [24, Apple])  Option 4: 3200MHz: [14, Spreadtrum]  Option 5: FFS: [5, Huawei] |

Related to the maximum channel bandwidth for 960 kHz SCS, there’s discussion on the sampling rate/time unit Tc. Currently, Tc is defined as *Tc =*1/(Δ𝑓max ∙ *Nf*), where Δ𝑓max = 480 ∙ 103 Hz and *Nf* = 4096. Without changing Tc definition, a maximum occupied bandwidth of 1.9584 GHz can be achieved ([6, Nokia], [12, Intel], [20, Samsung]) for the maximum channel bandwidth of 2 or 2.16 GHz. On the other hand, better bandwidth utilization and/or larger channel bandwidth can be supported for 960 kHz SCS with increased sampling rate by defining another time unit only applicable for 960 kHz SCS ([6, Nokia], [9, vivo], [18, NEC]).

Moderator’s comment:

Considering the vast majority support of option 2 and 3 for the maximum channel bandwidth for 960 kHz SCS, formulate the following proposal for discussion.

##### Proposal 1-1 for discussion:

* The maximum channel bandwidth for 120 kHz SCS is 400 MHz in 52.6 GHz to 71 GHz.
* The maximum channel bandwidth for 480 kHz SCS is 1600 MHz in 52.6 GHz to 71 GHz.
* Choose one of the following options as the maximum channel bandwidth for 960 kHz SCS in 52.6 GHz to 71 GHz
  + Option 1: 2000 MHz
  + Option 2: 2160 MHz
* Choose one of the following options for Tc
  + Option a: Keep Tc unchanged for all SCSs, Tc =1/(Δ𝑓max ∙ Nf), where Δ𝑓max = 480 ∙ 103 Hz and Nf = 4096
  + Option b: In addition to Tc, define a new Tc2 =1/(Δ𝑓max2 ∙ Nf) and Δ𝑓max2 = 960 ∙ 103 Hz and Nf = 4096, applicable for 960 kHz SCS only

Companies are encouraged to provide comments especially on their preference of the above options.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | First two bullets: Support maximum channel bandwidth for 120kHz =400 MHz and 480kHz =1600 MHz.  For forth bullet Option a) keep Tc unchanged for all SCS.  The restriction on Tc will limit the maximum channel bandwidth correspondingly for 960 kHz SCS. (third bullet). |
| LG Electronics | We support the first two bullets, i.e., 400 MHz and 1600 MHz as maximum channel bandwidth for 120 kHz SCS and 480 kHz SCS, respectively.  For the maximum channel bandwidth of 960 kHz and Tc, we prefer Option 2 and Option a.  However, it seems that RAN1 need to coordinate these issues with RAN4 before final decision. |
| ZTE, Sanechips | We are fine with the first 2 bullets.  For the 3rd bullet, our first preference is 1600MHz, and to select from the 2 options we support Option 1, i.e. 2000MHz.  We are a bit confused about the Option a of the 4 th bullet, if maximum channel bandwidth for 960kHz SCS is defined as at least 2000MHz, the N\_f would be larger than 2048, we are not sure how to keep the minimum time unit unchanged. |
| Ericsson | 120 kHz: Support proposal  480 kHz: Support proposal  960 kHz: Option 2 (2160 MHz)  Tc: This does not require discussion in RAN1. It is only a reference time unit, and it can be left to spec editors how to handle properly.  Regarding 960 kHz, it was agreed in the study item to consider maximum bandwidth values up to 2160 MHz. It was also heavily discussed that the motivation for 960 kHz is to achieve as large bandwidth as possible, and to also match IEEE channel bandwidth. Given these two observations, and that RAN4 will decide on a spectral utilization value (and thus guard band size), it makes most sense for RAN1 to recommend 2160 MHz. This will allow for a larger usable bandwidth after factoring in spectral utilization compared to 2000 MHz. |
| Qualcomm | • We think that the bandwidth discussion should be left to RAN 4, which have already an ongoing discussion for the min/max bandwidth for the new band  • For 960KHz SCS, Tc should be decided based on the maximum channel bandwidth |
| DOCOMO | We support the 1st and 2nd bullet.  On the 3rd bullet, either options are fine, while we slightly prefer option 2.  On the last bullet, since at most 2160 MHz BW is considered now, we support option a. |
| Samsung | We support the FL’s proposal in general.   * For the third bullet, instead of listing 2000 and 2160 as two alternatives, it would be more proper to say “approximate 2 to 2.16 GHz up to RAN4’s decision”. * For the forth bullet, we support Option a, but ok to leave it as two options to further down-select. * Add one more bullet “Send an LS to RAN4” |
| Nokia/NSB | The supported channel BWs are up to RAN4 decision. From RAN1 point of view maximum CBW can be defined according to Option 2. It provides opportunities for smooth co-existence with WiGig.  For Tc, prefer option a, provided that maximum CBW is ~2 GHz. It would mean that the maximum number of RBs for 960 kHz SCS (from RAN1 point of view) would be 170. However, if CBW>2.16 GHz is considered, e.g. CBW= 3.2GHz for scenarios where 2.16 GHz channelization does not need to be followed, it would require option b) |
| Apple | We support the first two bullets. On the third, we are support Samsung’s proposal as the exact value to be specified is a RAN4 decision. For the 4th, ideally we would like to Option a. |
| Huawei, HiSilicon | Agree with bullets 1 and 2.  We think keeping Tc unchanged allows supporting 2000 MHz maximum channel bandwidth with 960 kHz SCS, so this is a sufficiently simply design that meets the large bandwidth target. |
| Intel | In general, we are ok with the suggestions from the moderator.  On the aspect about Tc, we are not sure if this is something that needs a RAN1 agreement. This seems to be more of an Editor’s job on how this could be implemented in the specification.  From our understanding the Tc value does not dictate the FFT sizes nor does it represent the sampling rates that are used in transceivers of gNBs and UEs. The Tc is purely a construct for specification to provide time units of required operations. It may be even possible to define finer time units (if needed) by using a fraction of the Tc, and this would still be mathematically equivalent to option b. We feel this is Editor’s job to look into the specification and utilize the determine the best means to implement the required changes. For the RAN1 agreements, we believe it should be sufficient to agree on aspects that require smaller time units (if needed), and if so what those time units are, rather than focusing on what to do with Tc value. |
| vivo | Support bullet 1 and 2  For bullet 3, either option is fine and we slightly prefer Option 2.  For Tc, at least the following aspect is impacted:   * OFDM signal generation in Section 5.3 of TS 38.211; * Timing advanced time calculation in Section 4.2 of TS 38.214; * Timing requirement such as timing error requirement for SSB in Section 7 of TS 38.133.   Agree that the above second and third part could reuse current Tc value since it is only a time granularity. If there is need to indicate a smaller time granularity, change of the Tc value is needed. However, for the first part, use current Tc for OFDM signal generation will restrict the sampling rate since the maximum number of samples is limited. So, in our view, at least for OFDM signal generation with 960KHz, a new Tc should be defined if the supporting channel bandwidth is larger than 1.9584 GHz. |
| Lenovo, Motorola Mobility | We support first two bullets i.e. 400MHz for 120kHz SCS and 1600MHz for 480kHz.  For 960kHz, we support 2160MHz as maximum channel bandwidths (other bandwidth such as 2000MHz can be reached with multiple CCs such as 5 CCs with 400MHz).  For fourth bullet, we prefer to keep the Tc unchanged for all SCSs |
| Sony | We support the first two bullets. For 960 kHz SCS, we prefer option 2 (2160 MHz) at least for unlicensed band.  For Tc, it should be discussed after maximum bandwidth is determined. |
| Charter | We are fine with the proposal for 120kHz and 480kHz.  For 960 kHz: Option 2 (2160 MHz) is preferred  For Tc: Option a, is preferred |
|  |  |
| Moderator | Proposal revised below to address comments.  Respond to comment on RAN4’s decision:  Isn’t RAN1 the WG tasked by the WID to define maximum bandwidth? |

##### Proposal 1-1a for discussion:

* From RAN1 perspective, for NR operation in 52.6 GHz to 71 GHz,
  + The maximum channel bandwidth for 120 kHz SCS is 400 MHz
  + The maximum channel bandwidth for 480 kHz SCS is 1600 MHz
  + The maximum channel bandwidth for 960 kHz SCS is approximate 2000 to 2160 MHz
* Send LS to RAN4 on maximum bandwidth

Please provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | We are okay with Proposal 1-1a, but we think it would be more accurate to say "for 960 kHz SCS maximum bandwidth in the range [2000 .. 2160] MHz is feasible" |
| Spreadtrum | We are fine with the proposal 1-1a. |
| LG Electronics | Support the proposal, and when we send LS to RAN4 we may need to request RAN4 to define exact value for the maximum bandwidth corresponding to 960 kHz SCS, considering coexistence, Tc, and carrier aggregation. |
| DOCOMO | We support the Proposal 1-1a. |
| Nokia/NSB | We are fine with the proposal. Ericsson’s clarification is also fine. |

#### Minimum channel bandwidth

In [5, Huawei], it argues that a small carrier bandwidth has the benefit of maximizing the PSD when the resources are fully utilized, and is also beneficial in spectrum blocks that cannot be exactly divided by relatively large bandwidths such as 400MHz. However, setting a small minimum bandwidth may cause an inefficient implementation due to a low FFT utilization with a small number of PRBs in case of a large SCS, but also leads to a high implementation difficulty of synchronization introduced by many synchronization raster points within the large bands available in this frequency range.

[12, Intel] argues that it is quite critical for NR operating in 60 GHz to have a clear differentiating factor compared to NR operating in FR1 or FR2. It is quite difficult to imagine a UE or gNB vendor spending millions of dollars of R&D to support NR operating with 50 or 100 MHz which is better supported by existing FR1 and FR2 deployments. With the understanding of NR operating in 60 GHz should focus on even larger bandwidth that cannot be supported by existing FR1 and FR2 deployment, it proposes to support 400 MHz as the minimum channel bandwidth for all SCSs in this frequency range.

Companies’ views are summarized in the following table.

Table 2 Minimum channel/carrier BW with different numerologies

|  |  |
| --- | --- |
| **Numerology** | **Minimum channel/carrier bandwidth** |
| (120 K, NCP) | Option 1-1: 200MHz: [5, Huawei],  Option 1-2: 400MHz: [12, Intel], |
| (480 K, NCP) | Option 2-1: 200MHz: [5, Huawei],  Option 2-2: 400MHz: [12, Intel], |
| (960 K, NCP) | 400MHz: [5, Huawei], [12, Intel], |

Moderator’s comment:

The following proposal is formulated for discussion.

##### Proposal 1-2 for discussion:

* Choose one of the following options as the minimum channel bandwidth for 120 kHz SCS in 52.6 GHz to 71 GHz
  + Option 1-1: 200 MHz
  + Option 1-2: 400 MHz
* Choose one of the following options as the minimum channel bandwidth for 480 kHz SCS in 52.6 GHz to 71 GHz
  + Option 2-1: 200 MHz
  + Option 2-2: 400 MHz
* The minimum channel bandwidth for 960 kHz SCS is 400 MHz in 52.6 GHz to 71 GHz.

Companies are encouraged to provide comments especially on their preference of the above options.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | While the channelization discussion belongs to RAN4, we prefer for all SCS 120kHz, 480 kHz SCS and 960kHz a min channel BW of 400 MHz for unlicensed spectrum For the licensed spectrum should be decided in RAN4. |
| LG Electronics | We don’t have strong preference on this issue but prefer minimum channel bandwidth at least larger than 50 MHz (which is the minimum channel bandwidth for FR2 below 52.6 GHz). The exact value for the minimum channel bandwidth can be discussed in RAN4. |
| ZTE, Sanechips | The minimum channel bandwidth should be decided in RAN4. We don’t have strong preference. |
| Ericsson | It it not within scope for RAN1 to decide on minimum bandwidth; this will be decided by RAN4 when bands are specified for licensed and unlicensed. The WID specifies that RAN1 will decide only on maximum bandwidth.  That being said, our preferences are as follows:   * 120 kHz: 100 MHz (neither Option 1-1 nor Option 1-2) * 480 kHz: Open to both Option 2-1 and 2-2 * 960 kHz:   + Licensed band: Option 2-2 (400 MHz)   + Unlicensed band: 2160 MHz (neither Option 2-1 nor Option 2-2)   The rationale for 960 kHz was to match IEEE; hence only a single bandwidth is needed for 960 kHz in an unlicensed band. |
| Qualcomm | We think that the bandwidth discussion should be left to RAN 4, which have already an ongoing discussion for the min/max bandwidth for the new band  In addition, at least for 120kHz SCS, 100MHz minimum bandwidth should not be excluded from the discussion as it provides better coverage for the unlicensed operation and it will help in leveraging the existing implementations. |
| DOCOMO | We support option 1-2 and 2-2. For the 3rd bullet, we prefer to consider wider minimum channel bandwidth for 960kHz SCS considering the number of available RBs and sync raster aspects especially if 960 kHz SCS is also supported for initial access case. |
| Samsung | We are in general ok with the proposal, but would like to point out the discussion also take place in parallel in RAN4. So the decision should take into RAN4’s consideration as well. Maybe we can leave as it is and send to RAN4 for final down-selection. |
| Nokia/NSB | It’s too early to decide minimum CBW yet. We need to see the outcome from AI 8.2.1 first.  RAN4 should also be involved in these discussions. |
| Apple | The initial access agenda item will influence this. However, we do not have any strong preference. |
| Huawei, HiSilicon | For 480 kHz SCS, we support option 2-2 (400 MHz)  For 120 kHz SCS, we support option 1-1 (200 MHz)  The only work needed for supporting 200 MHz CBW for 120 kHz SCS in addition to 400 MHz is the definition of the raster, which should not be complex based on the raster for 400 MHz. Not supporting 50 MHz and 100 MHz already addresses the issue of the large number of raster points. There isn’t much difference between 400 MHz and 200 MHz, but 200 MHz is an option that allows increasing the coverage, which is important to keep since we already propose not supporting 50 MHz and 100 MHz as a compromise to manage complexity. This consideration is equally applicable for licensed or unlicensed operation. |
| Intel | While we agree that RAN4 ultimately determines channel bandwidth, we strongly believe RAN1 also needs to provide RAN4 input. This is because the minimum bandwidth supported is strongly tied to CORESET#0 PRB sizes that could and should be supported, as well as SSB/CORESET#0 multiplexing pattern.  If RAN4 chooses some values independently from RAN1 design, there is good chance RAN1 design may need to be revisited. Therefore, we suggest to provide to RAN4 with RAN1 input on the minimum bandwidths (and maximum bandwidths) and ask RAN4 on whether they see any issues with them.  So min-max channel bandwidth should really be a join decision between RAN1 and RAN4, where RAN1 should first provide some input for RAN4 to check feasibility and confirm.  Within the ranges of the supported min-max channel bandwidth, as long as RAN1 specification can support them, RAN4 can further work on the other supported bandwidths. This was how Rel-15 bandwidth discussions were done, and this should be the same for Rel-17. |
| InterDigital | We are fine with the proposal. |
| vivo | The minimum channel bandwidth is related with initial access aspect. We could discuss this when at least the numerology for initial BWP is decided. |
| Lenovo, Motorola Mobility | We support minimum channel bandwidth of 200MHz for 120kHz, 400MHz for both 480kHz and 960kHz SCS |
| Sony | This discussion could be left to RAN4 decision. |
|  |  |
| Moderator | Several companies commented the minimum bandwidth decision is not in RAN1 scope. While some companies think RAN1 input to RAN4 is necessary regarding the impact of minimum bandwidth to RAN1 specification. With that, the following proposal is formulated focusing on options of minimum bandwidth and their potential impact to RAN1 design and specification. |

##### Proposal 1-2a for discussion:

From RAN1 perspective, for NR operation in 52.6 GHz to 71 GHz, the following options on minimum channel bandwidth are identified. Further study their implications on RAN1 design and specification.

* for 120 kHz SCS
  + Option 1-0: 100 MHz
  + Option 1-1: 200 MHz
  + Option 1-2: 400 MHz
* for 480 kHz SCS
  + Option 2-1: 200 MHz
  + Option 2-2: 400 MHz
* for 960 kHz SCS
  + Option 3-1: 400 MHz
  + Option 3-2: 2160 MHz

Please provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | Ultimately, the decision on minimum bandwidth is for RAN4, and RAN4 may decide on different values depending on if it is a licensed band or an unlicensed band. The WID clearly says that RAN1 should decide on the maximum bandwidth only. However, we understand that there is RAN1 impact, which means we need some feedback from RAN4 as soon as possible. Rather than leaving all of the above options as FFS for RAN1 to discuss, it is better to include the above list of options in the same LS to RAN4 on the maximum bandwidth. In the LS we can simply say, RAN1 has discussed the above options for minimum bandwidth, and would appreciate feedback from RAN4 in a timely manner. |
| Spreadtrum | Agree with Ericsson, the minimum channel bandwidth is a RAN4 issue. It is better to investigate the RAN1 impact after RAN4 makes a decision. |
| LG Electronics | We don’t have strong view on the minimum channel bandwidth, but at least Option 3-2 is somehow strange, since the maximum channel bandwidth for 960 kHz SCS is proposed to be approximate 2000 to 2160 MHz in Proposal 1-1a but Option 3-2 here can be larger than that. |
| DOCOMO | We agree this discussion could be held after the progress of AI 8.2.1. Also, we still think it may be beneficial to have aligned number of available RBs across SCSs. Therefore, for further study, we would like to add Option 3-3: 800 MHz for 960 kHz SCS. |
| Nokia/NSB | We share view with Ericsson. Additionally, the LS should cover connections to the initial access design (AI 8.2.1) |

#### Channelization

There’re several issues discussed in terms of channelization.

Two sources ([15, InterDigital], [24, Apple]) propose to support multiples of 400 MHz as the carrier bandwidths up to the maximum carrier bandwidth for each SCS.

Companies have diverse views regarding whether to support of channelization that are aligned with IEEE 802.11ad and 802.11ay channelization for coexistence. Recall that alignment of channelization between a NR channel and IEEE 802.11ad and 802.11ay channel in this context refers to a NR channel that is contained within one of the channels defined for IEEE 802.11ad and 802.11ay and NR channel bandwidth does not cross over channel boundaries of IEEE 802.11ad and 802.11ay. One source ([3, ZTE]) observes that aligned and misaligned channelization show similar performance in coexistence scenario and proposed no need to align with IEEE 802.11ad/ay. Some other sources ([16, Sony], [17, LG], [23, Charter], [24, Apple]) think it’s beneficial to align NR channelization with IEEE 802.11ad and 802.11ay channelization for coexistence.

Moderator’s comment:

Detailed specification on channelization is in the scope of RAN4. Suggest to discuss the principle of channelization with more RAN1 focus. The following proposal is formulated for discussion.

##### Proposal 1-3 for discussion:

* Support multiples of the minimum channel bandwidth as the channel bandwidths up to the maximum channel bandwidth for each SCS in 52.6 GHz to 71 GHz

Companies are encouraged to provide comments and/or suggestions on channelization if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | Support moderator’s proposal. |
| LG Electronics | In principle, we are supportive of Moderator’s proposal, but this issue also falls into the category that requires coordination with RAN4. |
| ZTE, Sanechips | Support moderator’s proposal from RAN1 perspective. |
| Ericsson | We do not support the proposal for 2 reasons:   * Channelization design is RAN4 responsibility * This proposal is not compatible with 2160 MHz as the maximum channel bandwidth |
| Qualcomm | RAN 4 should discuss and decide the bandwidth not limited to the choice between multiple of the minimum channel bandwidth |
| DOCOMO | We are fine with the moderator’s proposal. |
| Samsung | Again, we are ok with the proposal, although this is more like a RAN4 issue. |
| Nokia/NSB | Channel BW options for the cases with and without CA are in the scope of RAN4. No need for further discussions in RAN1. |
| Apple | We are fine with the moderator’s proposal. |
| Huawei, HiSilicon | This proposal seems conditioned on the minimum channel bandwidth being 400 MHz for all supported values of SCS, which is not yet agreed, and for which we have a different proposal (support 200 MHz for 120 kHz SCS). But we agree that all supported channel bandwidths above 400 MHz should only be multiples of 400 (including the maximum channel bandwidth with 960 kHz SCS, i.e. 2000 MHz) |
| Intel | While we don’t have anything specific against the moderator’s proposal. We think RAN1 should focus on channelization aspects that may impact RAN1 design. For example, whether RAN1 believes there is a need to support overlapping channels of the same channel bandwidth. In Rel-16 NR-U, the 5GHz bands did not support many of these overlapping channels, and this allowed RAN1 to work with very few values of SSB to CORESET#0 frequency offset values.  It would be good to provide RAN4 with various aspects on channelization that would impact RAN1 design, and if needed provide some guidelines so that RAN4 can takes those into consideration.  The moderator’s suggestion might be a good starting point, but we believe there are further discussions to be made here. |
| InterDigital | We are fine with the proposal. |
| vivo | Support moderator’s proposal |
| Lenovo, Motorola Mobility | Agree with moderator’s proposal |
| Sony | This discussion could be left to RAN4 decision. |
| Charter | We are fine with the proposal. |
|  |  |
| Moderator | Again, several companies commented channelization decision is not in RAN1 scope. While some companies think RAN1 study on the potential impact to RAN1 design is helpful. With that, the following proposal is formulated focusing on issue of channelization and potential impact to RAN1 design. |

##### Proposal 1-3a for discussion:

Further study the impact of at least the following issues of channelization on RAN1 design for NR operation in 52.6 GHz to 71 GHz.

* multiples of a channel bandwidth unit (e.g., the minimum channel bandwidth for a SCS) as the channel bandwidths
* whether to support overlapping channels of the same channel bandwidth

Please provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | Unlike Rel-16 NR-U, it is fundamentally required that the channel and sync rasters are defined to allow flexible placement of channels (similar to the functionality existing in Rel-15), and this can mean that channels of the same bandwidth overlap (even if not deployed concurrently). Three examples of why such flexibility as needed are as follows:   * Licensed IMT portion of the band (57 – 61 GHz)   + Flexible channel placement is needed based on the channels that a particular operator may be allocated, and these will certainly not be restricted to the IEEE channel grid. * Unlicensed allocations in various regions of the world:   + To maximize spectrum usage, the channel and sync rasters should be flexible enough to maximize the number of large bandwidth channels (e.g., 1600 MHz) that can fit within the regional allocation, which will lead to misalignment with the IEEE channelization. If it is desired to have flexibility to align with IEEE in some deployments, then the channel/sync rasters need to be flexibly defined to allow either deployment. Clearly, channels of the same bandwidth can overlap (even if not deployed concurrently). * LBT vs. no LBT operation   + As already agreed, both modes are supported, and whether or not to use LBT depends on the region and deployment scenario. In a no LBT scenario, there is no reason to constrain 3GPP channelization from achieving maximum utilization of the available spectrum, e.g., by strictly aligning with IEEE channelization. In LBT channel access mode, the deployment can decide to use an aligned channelization instead of unaligned channelization. Again, channel and sync raster flexibility is needed.   We suggest that RAN1 includes a statement in an LS to RAN4 that it is RAN1 understanding that RAN4 will design flexible channel and sync rasters for supporting  both licensed and unlicensed operation (with and without LBT), and that the flexible design will enable both alignment and misalignment with the IEEE 802.11ad/ay channelization grid depending on the deployment scenario. RAN1 requests feedback from RAN4 on the design, since it has impact on the initial access design, e.g., in terms of CORESET0 bandwidths, needed SSB-CORESET0 offsets, etc. |
| Spreadtrum | We support the updated proposal. |
| DOCOMO | We are fine with the Proposal 1-3a. |
| Nokia/NSB | Channel BW options for the cases with and without CA are in the scope of RAN4. No need for further discussions in RAN1. |

#### Other issue(s)

Please provide comments if any on any missed issue(s) about bandwidth.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
|  |  |
|  |  |
|  |  |

## 2.2. Timeline

### Individual observations/proposals

The following are individual observations and proposals from the contributions.

|  |  |
| --- | --- |
| Sources | Observations/proposals |
| [1, Futurewei] | Proposal 1: The new values for the *beamSwitchTiming* corresponding to SCS {480kHz and 960 kHz} use ENUMERATED {sym14, sym28, sym48, sym224, sym336} as starting point.  Proposal 2: Consider using exponential models for selected delays and timeline values as baseline for the discussions of timeline changes corresponding to SCS 480kHz and 960kHz. |
| [2, Lenovo] | Proposal 4: For supporting NR between 52.6 GHz and 71 GHz with high subcarrier spacing values including 480kHz and 960kHz, following enhancements should be supported to efficiently utilize UE’s limited processing capability to reduce latency and efficiently handle processing/preparation of CSI reports associated with multiple numerologies in parallel:  - Same reference symbols duration (possibly the shortest duration corresponding to maximum supported SCS value) could be used for checking CPU availability corresponding to different CSI reports associated with different SCS values |
| [3, ZTE] | Proposal 8: For high frequency, a new UE capability for timeline related aspects should be defined based on slot (or symbol)-group granularity.  Proposal 9: Consider the phase noise estimation and compensation time on timeline design when PTRS is configured.  Proposal 10: How to interpret k0, k1 and k2 for PUSCH/PDSCH scheduling and HARQ feedback timing indication should be discussed. |
| [5, Huawei] | Proposal 4: The absolute timelines of existing Rel-15/16 features should not be further reduced than those for 120 kHz SCS. The timeline of potential Rel-17 enhancement should be analyzed case by case as per the SCS.  Proposal 6: For multi-slot PDSCH scheduling with a single DCI for 480 kHz and 960 kHz:  • k0 indicates the gap between the slot of the scheduling DCI and the first slot of the multi-slot PDSCH scheduled by the DCI  • k1 indicates the gap between the last slot of the multi-slot PDSCH and the slot carrying the HARQ information feedback corresponding to the multi-slot PDSCH  Observation 1: The ranges of k0 and k1 defined in FR2 are not suitable for multi-PDSCH scheduling if the unit of k0 and k1 is one slot of the scheduled SCS, when the scheduled SCS is 480 kHz or 960 kHz SCS.  Proposal 7: The unit of k0 and k1 should be defined as multiple slots for multi-PDSCH scheduling for 480 kHz and 960 kHz SCS.  Proposal 8: The multi-PUSCH scheduling defined in NR-U Rel-16 can be directly extended to 52.6 GHz to 71 GHz. k2 indicates the gap between the slot of the scheduling DCI and the first slot of the multi-slot scheduled PUSCH corresponding to the DCI; The unit of k2 should be defined as multiple slots for multi-PUSCH scheduling for 480 kHz and 960 kHz. |
| [6, Nokia] | Proposal 6: Consider PDSCH processing time and PUSCH preparation time in such that the following scenario can be fulfilled:  • contiguous DL/UL transmission  • up-to 16 HARQ processes  • multi-slot scheduling with 0.125ms scheduling unit size.  Proposal 7: NR to support CSI computation delay parameter for SCS of 480kHz and 960kHz.  Observation 11: Rel-15/16 schemes for CPU can be reused for 480kHz and/or 960kHz SCS. |
| [7, CAICT] | Proposal 2: For 480 and 960kHz SCS, processing time line should be based on slot level and multiple slots level processing time line could also be considered. |
| [8, CATT] | Proposal 2: The UE processing time N1/N2 with 480KHz/960KHz SCS could not be determined before the maximum system bandwidth supported is finalized.  Proposal 3: Since the maximum system bandwidth expects to increase from 400 MHz, the UE the ranges of k0, k1, k2 values could be finalized before the supported maximum system is determined for 480 kHz and 960 kHz SCS. |
| [9, vivo] | Proposal 8: The default set of PDSCH-to-HARQ\_feedback timing indicator should be adapted to the SCS of PDSCH.  Proposal 9: The basic time unit should be re-defined for 960KHz when operation from 52.6-71GHz and its spec impact should be studied. |
| [15, InterDigital] | Proposal 7: Evaluate required UE processing time for higher frequencies considering the differences on antenna/panel structure, narrower beamwidth, BWP size and new subcarrier spacings.  Observation 9: Existing processing time determination methods are based on worst case scenarios and may require more redundant processing time for higher frequencies.  Proposal 8: Study application of different processing time requirements based on parameters which contribute UE processing time. |
| [17, LG] | Proposal #9: Consider additional UE PDSCH processing procedure time (i.e., N1 symbols) when UE is required to perform both of CPE and ICI compensation, e.g., for 120 kHz SCS and 64 QAM.  Proposal #10: Consider CSI processing timeline enhancements for better availability for CPUs for multiple CSI reports associated with different numerologies. |
| [19, Xiaomi] | Proposal 1: UE processing capability for PDSCH/PUSCH should be defined for SCS 480/960kHz to allow 1 TB of PDSCH/PUSCH per several slots.  Proposal 2: For PUSCH scheduled by RAR or by the fallback RAR, Δ value should also be considered for new SCS 480/960kHz.  Proposal 3: Specify different default K1 value sets for different SCS, and each K1 set with a maximum number of 8 values to keep the K1 bit field in DCI 1-0 unchanged.  Proposal 4: Configure different K1 value sets for different SCS, and each K1 set with a maximum number of 8 values to keep the K1 bit field in DCI 1-1/DCI 1-2 unchanged.  Proposal 5: Impacts on PDSCH/PUSCH processing time (N1/N2) may need be considered if defining maximum number of BDs/CCEs for multi-slot span PDCCH monitoring. |
| [20, Samsung] | Proposal 2: RAN1 shall determine proper processing timing values for 480 and 960 KHz with the consideration of reasonable UE complexity, potential latency and impact of signal/channel/physical layer procedures.  Proposal 3: Processing time for procedures based on PDCCH reception should take into account the extra complexity/time for a UE when PDCCH Monitoring enhancement methods discussed in 8.2.3 A.I. (eg. multi-slot span PDCCH monitoring) is configured.  Proposal 4: Support SCS-specific K1/K2 by reusing existing default/configured K1/K2 plus a SCS specific offset. |
| [21, Ericsson] | Observation 1 UE PDSCH/PUSCH processing timelines for SCS > 120 kHz need to be further tightened compared to those for 120 kHz SCS to enable high performance NR operation in 52.6 to 71 GHz.  Proposal 1 RAN1 should strive to narrow down the range of UE processing latencies early in the WI phase, particularly those related PDSCH/PUSCH processing (N1, N2, N3), to enable multi-PDSCH/PUSCH design to proceed. |
| [24, Apple] | Proposal 4: Modify the UE processing timelines to account for the 480 kHz and 960 kHz SCSs. These should be discussed individually.  Proposal 5: RAN1 should prioritize the discussion of the critical processing timelines in order of (a) parameter independence (b) priority and (c) sub-agenda item dependence.  Proposal 6: investigate the need for enhancements and standardization, of the following processing timelines:  • Default PUSCH time Domain resource allocation for normal CP  • UE PDSCH reception preparation time with cross carrier scheduling with different subcarrier spacings for PDCCH and PDSCH  • SRS, PUCCH, PUSCH, PRACH cancellation with dynamic SFI  • ZP CSI Resource set activation/deactivation  • Beam Switch Timing for periodic CSI-RS + aperiodic CSI-RS  • Beam switch timing for aperiodic CSI-RS  • Aperiodic CSI-RS timing offset  • Application delay of the minimum scheduling offset restriction  • SRS triggering after DCI reception |
| [25, Qualcomm] | Proposal 10: For HARQ timing indication K1, uses the last PDSCH granted in the multi-PDSCH grant as reference slot. |
| [26, NTT DoCoMo] | Proposal 2: For existing parameters related to timeline as below, whether/how to define new values for 480/960 kHz SCS should be discussed.   * Value of N1/N2/N3/Z1/Z2/Z3/d parameters shall be defined for new SCSs for supported UE capability(-ies).   + Whether to define new timeline values for new SCSs for UE capability #1 and/or UE capability #2, or to introduce new UE capability for new SCSs * For beam related timeline parameters, value of “*timeDurationForQCL*”, “*beamSwitchTiming*/*beamSwitchTiming-r16*”, “*beamReportTiming*”, “minimum guard period between two SRS resources of an SRS resource set for antenna switching” for new SCSs for supported UE capability(-ies) should be defined. * Whether/how to consider beam switching gap (i.e., time duration needed to change the beam) should be discussed. * FFS whether to introduce a larger time gap to apply new beam configuration after receiving BFR response from gNB * For DRX switching, BWP switching, search space group switching, define values for new SCSs for supported UE capability(-ies). * For K0/K1/K2 set, consider proper K0/K1/K2 set configuration and define default values for new SCSs. |

### Summary on timeline

The following time line related aspects are captured in the TR based on the outcome of SI.

It was identified that support of the new subcarrier spacing, if agreed, will at least require investigation on the need for enhancements and standardization, of the following processing timelines:

- processing capability for PUSCH scheduled by RAR UL grant,

- dynamic SFI and SPS/CG cancellation timing,

- timeline for HARQ-ACK information in response to a SPS PDSCH release/dormancy,

- minimum time gap for wake-up and Scell dormancy indication (DCI format 2\_6),

- BWP switch delay,

- multi-beam operation timing (timeDurationForQCL, beamSwitchTiming, beam switch gap, beamReportTiming, etc.),

- timeline for multiplexing multiple UCI types,

- minimum of P\_switch for search space set group switching,

- appropriate configuration(s) of k0 (PDSCH), k1 (HARQ), k2 (PUSCH),

- PDSCH processing time (N1), PUSCH preparation time (N2), HARQ-ACK multiplexing timeline (N3),

- CSI processing time, Z1, Z2, and Z3, and CSI processing units,

- any potential enhancements to CPU occupation calculation,

- related UE capability(ies) for processing timelines,

- minimum guard period between two SRS resources of an SRS resource set for antenna switching.

Most of proposals in the contributions for this agenda are high level (i.e., talking about the principles of determining timeline rather than proposals on detailed values of some particular parameter).

#### Timeline unit/granularity

Multiple contributions ([3, ZTE], [7, CAICT], [19, Xiaomi]) proposed to define a new UE capability for timeline related aspects based on slot (or symbol)-group (multiple slot/symbol) granularity. [5, Huawei] also proposed that the unit for k0 and k1should be multi-slots for multi-PDSCH/PUSCH scheduling.

Moderator’s comment:

The UE capability of processing timeline defined may need to consider both slot and multi-slot scheduling. Whether to define a new UE capability timeline unit is for discussion. The following proposal is formulated.

##### Proposal 2-1 for discussion:

* A new UE capability for processing timeline is defined whose unit is multi-slot or multi-symbol for 52.6 GHz to 71 GHz.
  + FFS for which timeline(s)

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | Support moderator’s proposal. |
| LG Electronics | In principle, we support Moderator’s proposal. But, whether multi-slot (or multi-symbol) based timeline definition is needed or not should be discussed on a case-by-case basis. |
| Xiaomi | Support moderator’s proposal. |
| ZTE, Sanechips | Support moderator’s proposal. |
| Qualcomm | The new capability for processing timeline should be discussed not limited to the choice of the units to be multi-slot or multi-symbol |
| DCM | We can understand the motivation for the unit of some parameters (e.g. K0, K1, K2) to based on multi-slot. But why to introduce the new UE capability is not clear. Is granularity difference the only difference between the new UE capability and existing UE capability #1/2? In our view, complementing current UE capability#1/2, i.e. defining values for newly introduced SCSs based on existing UE capability #1/2 is enough for most parameters, e.g. N1/N1/N3/N/Z1/Z2/Z3. |
| Samsung | We are wondering why this should be a new UE capability for processing timeline? If this capability is intended for addressed the impacts of multiple slot scheduling, shouldn’t we just modified the timeline by considering the impacts of “multiple slot scheduling”? Also, we believe it is too early to call whether to define the timeline unit in in multi-slot or multi-symbol. |
| Nokia/NSB | We think that a better approach is to define PDSCH/PUSCH processing times in a way that they apply to both single slot and multi-slot scheduling.  We also think that no UE capabilities related are needed - all UEs supporting SCS>120 kHz should support both slot based and multi-slot -based operation |
| Apple | We are fine with the proposal but think that it is necessary to address this issue for each processing timeline individually. |
| Huawei, HiSilicon | The proposal seems ok but it might not be so useful for progress. Perhaps a list of observations of use cases (which timelines/parameters) and benefits for each of the approaches (multi-slot vs. multi-symbol) would be more useful to discuss. |
| Intel | Conceptually, we understand the proposal and we are generally ok with the suggestion. However, similar to LG Electronics’s comments, we may need to clarify further what it means to consider multi-slot or multi-symbol. |
| InterDigital | As mentioned by LGE and Intel, the proposal needs further clarification. We prefer to discuss the details with the parameter to be applied to see a whole picture. |
| vivo | Support moderator’s proposal |
| Lenovo, Motorola Mobility | In our view, we are not sure about the benefits of defining such new UE capability. But, we are open to further discuss this. |
| Convida Wireless | We agree with moderator’s proposal. |
| Sony | Support moderator’s proposal. |
|  |  |
| Moderator | Companies have different views on whether to define a new UE capability with only granularity difference.  Some companies think other aspects not limited to time unit of timeline should be discussed. However, no details or proposals on what other aspects were made.  The following proposal is formulated. |

##### Proposal 2-1a for discussion:

Further study at least the following aspects of timelines to support both single slot and multi-slot scheduling for NR operation in 52.6 GHz to 71 GHz.

* Time unit and applicability to selected timelines
* Potential impact on UE capability

Please provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Spreadtrum | We support the updated proposal. |
| DCM | We are generally fine to further study on time unit of timeline related parameters as well as its applicability, value range, etc. to support both single-slot and multi-slot scheduling.  It may be possible to clarify that further study on time unit includes possible change of time unit itself and possible change of value range with existing time unit. |
| Nokia/NSB | We think that it’s more important to discuss what are the numerical values (e.g. in microseconds) for different processing timelines and different SCSs .  How to illustrate the numerical values in the specifications (e.g. by means of symbols or slots) can be discussed/decided when the numerical values have been agreed. The same holds for the UE capabilities. |

#### Methodology

Regarding how to derive the UE processing timeline for new SCSs, several contributions have discussed different approaches.

Both [1, Futurewei] and [21, Ericsson] adopted exponential models whose parameters are obtained based on some simple formulae fitted with the existing Rel-15 processing times. The new values for new SCSs are extrapolated using the fitted formulae. Note that those models are for selected delay and timeline values.

[5, Huawei] and [24, Apple] also looked into the existing timelines and observed that the processing timelines do not always scale proportionally with SCS. Both proposed that the timeline should be analysed case by case per SCS.

In [5, Huawei], it proposed the absolute time duration for all of the timelines should not decrease further due to the implementation complexity to support 120 kHz and one or two of {480 kHz, 960 kHz} for a same UE, especially under certain scenarios involving switching, such as BWP switching, beam switching and antenna switching. However, [6, Nokia] argued that keeping the absolute processing time the same for all SCSs would either considerably increase the amount of HARQ processes needed or reduce the data rate due to HARQ process starvation. On the same topic, [21, Ericsson] also examined the latency of new SCSs if keep the same absolute time as 120 kHz SCS processing and observed that UE PDSCH/PUSCH processing timelines for SCS > 120 kHz need to be further tightened compared to those for 120 kHz SCS to enable high performance NR operation in 52.6 to 71 GHz.

Moderator’s comment:

The following proposal is formulated for discussion based on the above.

##### Proposal 2-2 for discussion:

* RAN1 strives to reduce the absolute time durations of UE processing timelines for 480 kHz and 960 kHz SCS compared to those for 120 kHz SCS for NR operation in 52.6 to 71 GHz.
* Consider using exponential models for selected timelines as baseline for the discussions
  + At least for N1, N2, N3
  + FFS for other timelines
  + FFS model parameters for each selected timeline

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | Support moderator’s proposals, with the amendment in the first bullet “if feasible” for the reduction of UE processing timelines. |
| LG Electronics | Fine with Moderator’s proposals and Futurewei’s edition. |
| Xiaomi | Support moderator’s proposal. |
| ZTE, Sanechips | Support moderator’s proposal. |
| Ericsson | Support moderator's proposal  It is important to try to narrow down the range of processing timelines at least for N1, N2, N3 so progress can be made for multi-PDSCH/PUSCH scheduling. |
| Qualcomm | -We do not see that the first sentence of the proposal is needed, we suggest using the absolute timeline of 120kHz SCS as an upper bound for the 480 and 960 kHz SCSs  - We think that a simple projection (e.g., based on log-linear regression) could be the starting point. Since it is a complicated matter involving lots of implementation and performance aspects, further studies should be conducted before making a conclusion. |
| DCM | For the first proposal, we think it may be RAN4 perspective, but we are fine with striving to reduce reduce the absolute time durations of UE processing timelines for 480/960k SCS compared to 120k SCS for 52.6 – 71 GHz.  For the second proposal, we are fine to discuss the exponential models. |
| Samsung | We are ok with the first bullet.  For the second bullet, “exponential models” is unclear. Essentially the values in the tables are highly related to the implementation, so we don’t think a clear “model” can fit all the cases. A case by case study with input from corresponding vendors may be more proper. |
| Nokia/NSB | Support the proposal.  Exponential models provide a good baseline for defining N1, N2 and N3.  For SCS>120 kHz, absolute processing times need to be tightened (c.f. 120 kHz SCS) in order to achieve high performance and to keep the number of HARQ processes reasonable. |
| Apple | We are not fine with the proposal. On the use of exponential models as a baseline, we feel that it may be too aggressive. As a simple example, consider N1. The value of N1 may have to be adjusted for an increase in the PDCCH monitoring complexity and for the need for ICI compensation. The exponential models do not account for this. Secondly, there are some non-scalable operations that occur that may not be captured when the exponential model is used.  We would prefer the statement “RAN1 will use the absolute time duration for 120 kHz SCS as a a starting point/upper bound for the discussion of UE processing timelines for 480 kHz and 960 kHz SCS”. We are not ready to commit to a reduction at this early stage. |
| Huawei, HiSilicon | We don’t agree with the proposal, but if those reduced timelines are considered optional then we are open to discuss. Proof of feasibility so far is only available for the timelines defined for 120 kHz SCS. If it is possible to reduce those timelines, it is also possible to at least support the same timeline values as for 120 kHz SCS for all UEs. For N1, N2, N3, what matters first is the absolute time needed for processing, which can then be converted to a number of symbols. There is no point discussing a scaling function for N1, N2 and N3. Eventually, those absolute times might even need to be larger for 480 or 960 kHz SCS than the absolute times required for 120 kHz SCS. |
| Intel | Ok with the proposal. |
| InterDigital | We are fine with the proposal. |
| vivo | Support moderator’s proposal |
| Lenovo, Motorola Mobility | We support the moderator’s proposal |
| Convida Wireless | We agree with moderator’s proposal. |
| Sony | Support moderator’s proposal |
|  |  |
| Moderator | Majority of companies support this proposal as it is. There’re comments on the wording of the 1st bullet and the details of exponential model in the 2nd bullet.  Proposal revised to address comments. |

##### Proposal 2-2a for discussion:

* RAN1 use the absolute time duration for 120 kHz SCS as the starting point/upper bound for the discussion of UE processing timelines for 480 kHz and 960 kHz SCS for NR operation in 52.6 to 71 GHz
  + RAN1 strives to reduce the absolute time durations from the upper bound if feasible
* FFS how to derive timeline values
  + Case by case study
  + FFS: model based approach for selected timelines, e.g. exponential models, projection based on log-linear regression

Please provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | In our view, the upper bound in this proposal is too loose, and there is not much incentive to reduce the values compared to 120 kHz. The 120 kHz values are not compatible with designing high performance NR operation in the 52.6 to 71 GHz range for a wide range of important use cases including, e.g., factory automation and industrial IoT applications. At least we prefer the following:   * RAN1 use the absolute time duration for 120 kHz SCS as ~~the starting point/~~upper bound for the discussion of UE processing timelines for 480 kHz and 960 kHz SCS for NR operation in 52.6 to 71 GHz   RAN1 strives to reduce the absolute time durations from the upper bound ~~if feasible~~ |
| Spreadtrum | We are fine with the updated proposal. |
| LG Electronics | Agree to the first bullet.  For the second bullet, we don’t have strong preference if the selected derivation approach is reasonable. |
| DCM | We are fine with the proposal 2-2a. |
| Nokia, NSB | Agree with Ericsson.  When considering processing timelines for 480 kHz and 960 kHz SCSs, one should consider multi-PDSCH/PUSCH as the baseline scenario. One goal should be to support contiguous UL or DL transmission with a reasonable number of HARQ processes with multi-PDSCH/PUSCH scheduling. |

#### Dependence and order of discussion

Several contributions mentioned the dependence of determining some UE processing timeline with some related discussions.

[8, CATT] thought the UE processing time N1/N2, the ranges of k0, k1 and k2 values with 480KHz/960KHz SCS could not be determined before the maximum system bandwidth supported is finalized.

[3, ZTE] and [17, LG] proposed to consider the phase noise estimation and compensation time on timeline design.

[19, Xiaomi] and [20, Samsung] proposed that impacts on PDSCH/PUSCH processing time (N1/N2) and/or PDCCH processing timeline may need to consider maximum number of BDs/CCEs for multi-slot span PDCCH monitoring.

[21, Ericsson] proposed that RAN1 should strive to narrow down the range of UE processing latencies early in the WI phase, particularly those related PDSCH/PUSCH processing (N1, N2, N3), to enable multi-PDSCH/PUSCH design to proceed.

[24, Apple] suggested an order for discussion with three groups, (1) independently specified, (2) dependent on the values of group 1, (3) dependent on progress in other sub-agenda items.

Moderator’s comment:

It is true that some UE processing timelines may depend on progress of discussions in other sub-agenda items. On the other hand, the decision on possible range of some UE processing timelines may facilitate the discussion for other timeline determination as well as for other enhancements in this WI.

##### Proposal 2-3 for discussion:

* The following UE processing timelines are prioritized for discussion
  + PDSCH processing time (N1), PUSCH preparation time (N2), HARQ-ACK multiplexing timeline (N3)
  + CSI processing time, Z1, Z2, and Z3, and CSI processing units

Companies are encouraged to provide comments and/or suggestions if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | In principle we agree with moderator’s proposal. However, it needs to be clarified if these are prioritized over other timelines discussions. In addition, some of the timelines may be dependent on the multi-PDSCH/PUSCH scheduling discussion. |
| LG Electronics | Support Moderator’s proposal. |
| Xiaomi | Support moderator’s proposal. |
| ZTE, Sanechips | Support moderator’s proposal. |
| Ericsson | Agree that N1, N2, and N3 are first priority to discuss. CSI-related timelines can be discussed later. |
| Qualcomm | We agree on prioritizing the discussions for these timeline aspects as a starting point |
| DCM | Support. |
| Samsung | We are ok with the FL’s proposal. |
| Nokia/NSB | Support the proposal. |
| Apple | Support the proposal |
| Huawei, HiSilicon | k0, k1 and k2 should also be discussed with priority. |
| Intel | Support the proposal. |
| InterDigital | We are fine with the proposal with Huawei’s update. |
| vivo | Support Moderator’s proposal. |
| Lenovo, Motorola Mobility | We agree with the proposal |
| Convida Wireless | We are fine with moderator’s proposal. |
| Sony | Support moderator’s proposal. |
|  |  |
| Moderator | Most companies support this proposal as it is. Two companies (Huawei and InterDigital) proposed to add k0, k1 and k2 into the priority list.  Proposal 2-3a formulated for discussion. |

##### Proposal 2-3a for discussion:

The following UE processing timelines are prioritized for discussion

* PDSCH processing time (N1), PUSCH preparation time (N2), HARQ-ACK multiplexing timeline (N3)
* CSI processing time, Z1, Z2, and Z3, and CSI processing units
* configuration(s) of k0 (PDSCH), k1 (HARQ), k2 (PUSCH)

Companies are encouraged to provide comments especially toward the added 3rd bullet.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | We think that the 3rd bullet is higher priority than the 2nd |
| Spreadtrum | We are fine with the updated proposal. |
| LG Electronics | Agree with the updated proposal. |
| DCM | We are fine with Proposal 2-3a. |
| Nokia/NSB | Agree with Ericsson. CSI processing time to be discussed later. |

#### Additional processing timelines

[24, Apple] proposed to investigate the need for enhancements and standardization, of the following processing timelines:

• Default PUSCH time Domain resource allocation for normal CP

• UE PDSCH reception preparation time with cross carrier scheduling with different subcarrier spacings for PDCCH and PDSCH

• SRS, PUCCH, PUSCH, PRACH cancellation with dynamic SFI

• ZP CSI Resource set activation/deactivation

• Beam Switch Timing for periodic CSI-RS + aperiodic CSI-RS

• Beam switch timing for aperiodic CSI-RS

• Aperiodic CSI-RS timing offset

• Application delay of the minimum scheduling offset restriction

• SRS triggering after DCI reception

Moderator’s comment:

The above proposal seems just encouraging to investigate the need of enhancements for the listed sub-bullets. In this case, it seems no need to have an agreement.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | We think that we should strive to keep the same timeline for beam switching, see our reply for 2.2.2.5 |
| Xiaomi | For the first bullet, what’s the motivation of defining default PUSCH time Domain resource allocation? |
| Qualcomm | The beam related timeline aspects should be discussed in the Beam management item 8.2.4.  Using the discussion on N1, N2, N3, Z1, Z2 and Z3 as a baseline, we should revisit the remaining timeline aspects. |
| DCM | Beam related timeline parameters also need to considered:  - Whether/how to consider beam switching gap (i.e., time duration needed to change the beam) should be discussed.  - FFS whether to introduce a larger time gap to apply new beam configuration after receiving BFR response from gNB |
| Samsung | OK with FL’s assessment. |
| Nokia/NSB | RAN4 should be involved in defining timelines for many of these timelines |
| Apple | In response to Xiaomi’s question, in 38.214, Section 6.1.2.1.1, the Default PUSCH time Domain resource allocation for normal CP (Table 6.1.2.1.1-2) includes a parameter “j” that is dependent on the SCS (Table 6.1.2.1.1.1-4).      As mentioned in our contribution, we can classify these into different groups as follows:  Table  Description automatically generated  To Moderator: can this list be captured in a note in the chairman’s notes so that we have a record in addition to the items we have in the TR ? Or added as an update to the TR ? |
| vivo | OK with moderator’s assessment. Maybe which timeline should be discussed in beam management agenda need to be made clear. |
| Lenovo, Motorola Mobility | Ok with moderator’s views |
| Convida Wireless | We agree with Qualcomm. Beam management related issues (e.g. aperiodic CSI-RS) should be discussed in the agenda item 8.2.4. |
|  |  |
| Moderator | Respond to Apple’s comment:  Whether to capture the list in the chairman’s notes or to update the TR requires RAN1 agreement. Your contribution proposed to investigate the need of enhancements and standardization for the listed timelines. Proposal 2-4 formulated as commented to see if companies agree these FFS points.  Note that bullets related to beam management timelines are not included as commented (also see proposal 2-5 in section 2.2.2.5 for scope clarification). |

##### Proposal 2-4 for discussion:

FFS the need for enhancements and standardization, of the following additional processing timelines:

• Default PUSCH time Domain resource allocation for normal CP

• UE PDSCH reception preparation time with cross carrier scheduling with different subcarrier spacings for PDCCH and PDSCH

• SRS, PUCCH, PUSCH, PRACH cancellation with dynamic SFI

• ZP CSI Resource set activation/deactivation

• Application delay of the minimum scheduling offset restriction

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Spreadtrum | We are fine with the updated proposal. |
| DCM | We are fine with the proposal 2-4 except for the first bullet.  For the first bullet, we think “default PUSCH time Domain resource allocation” is related with K2 in Proposal 2-3a. |
|  |  |

#### Proposals on some specific timelines

[1, Futurewei] proposed the new values for the beamSwitchTiming corresponding to SCS {480kHz and 960 kHz} use ENUMERATED {sym14, sym28, sym48, sym224, sym336} as starting point.

[3, ZTE] proposed to discuss how to interpret k0, k1 and k2 for PUSCH/PDSCH scheduling and HARQ feedback timing indication.

[5, Huawei] proposed the definitions of k0 and k1 for multi-PDSCH/PUSCH scheduling.

[6, Nokia] argued that in Rel-15, N\_CPU is independent from numerology, and proposed that the existing specification can be reused for 480kHz and 960kHz SCS

[19, Xiaomi] proposed to specify different default K1 value sets for different SCS, and each K1 set with a maximum number of 8 values to keep the K1 bit field in DCI 1-0/1-1/1-2 unchanged.

[20, Samsung] proposed to support SCS-specific K1/K2 by reusing existing default/configured K1/K2 plus a SCS specific offset.

[21, Ericsson] proposed to increase the range of K0/K1/K2 for multi-PDSCH/PUSCH scheduling.

[25, Qualcomm] proposed that for HARQ timing indication K1, uses the last PDSCH granted in the multi-PDSCH grant as reference slot.

[26, NTT DoCoMo] proposed that for K0/K1/K2 set, consider proper K0/K1/K2 set configuration and define default values for new SCSs.

Moderator’s comment:

For those proposals on some specific timelines, suggest to discuss more.

Companies are encouraged to provide comments and/or suggestions on agreeable proposals if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | We think that we should strive to keep the same timeline for beam switching ENUMERATED {sym14, sym28, sym48, sym224, sym336} even for larger SCS. Discuss if for larger values {sym224, sym336} are other factors such as RF/antenna limit that need to be considered. It may require keeping the absolute time values constant while adapting the symbol numbers. |
| LG Electronics | In our view, some issues can be discussed in other sub-agenda, e.g., AI 8.2.4. |
| Qualcomm | In multi-PDSCH grant, the HARQ timing indication K1, uses the last granted PDSCH as a reference slot. |
| Apple | The values of Kx may depend on the values of Ny and on the PDCCH monitoring complexity (as a lower bound). As for the beamSwitchTiming, it may be more appropriate to discuss this and other beam based parameters in the beam management sub agenda item. |
| vivo | OK with moderator’s assessment. Maybe which timeline should be discussed in beam management agenda need to be made clear. |
| Lenovo, Motorola Mobility | Regarding CPU availability, the availability is on symbol basis, where the symbol duration is based on the corresponding CSI numerology. Therefore, it is depending on numerology. Now with 480kHz and 960kHz, the symbol duration is quite wide in case of multiple CSI associated with multiple numerologies. Therefore, we propose to define a reference symbol duration applicable to check CPU availability for all CSI (regardless of numerology) |
| Convida Wireless | We share the same view with Qualcomm. |
|  |  |
| Moderator | Multiple companies proposed to clarify which agenda item to discuss beam management related timelines. Formulate the following proposal to clarify. |
| Moderator 2 | Added another two bullets to proposal 2-5 to clarify which agenda item to discuss k0/k1/k2 related issues. |

##### Proposal 2-5 for notes:

* Multi-beam operation related timelines (timeDurationForQCL, beamSwitchTiming, beam switch gap, beamReportTiming, etc.) are to be discussed in agenda item 8.2.4.
* The definitions of k0/k1/k2 (i.e., how to interpret them) are to be discussed along with scheduling/HARQ aspects in agenda item 8.2.5
* The value range of k0/k1/k2 and how to configure them are to be discussed along with other timelines aspects in agenda item 8.2.5

Companies are encouraged to provide comments if any.

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| --- | --- |
| Company Name | Comments/Views |
| DCM | Support to discuss beam related parameters in 8.2.4. |
|  |  |
|  |  |

#### Other issue(s)

Please provide comments if any on any missed issue(s) about timeline.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
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|  |  |

## 2.3. PTRS

### Individual observations/proposals

The following are individual observations/proposals from the contributions.

|  |  |
| --- | --- |
| Sources | Observations/proposals |
| [1, Futurewei] | Observation 4: With ICI cancellation for SCS 120kHz, 480kHz, and 960kHz, block-PTRS does not offer BLER performance gain over comb-PTRS across the entire SNR range. Reducing PTRS density from K=2 to K=4 leads to a BLER performance loss up to 1dB.  Proposal 6: With higher SCSs employed, a comprehensive evaluation of the effect of frequency-selectivity on the accuracy of channel estimation, and on the link performance is necessary.  Proposal 7: With ICI cancellation for SCS 120kHz, 480kHz, and 960kHz, the comb-PTRS with sufficient frequency-domain is recommended. Study the block-DMRS enhancement and other efficient DMRS structures that could lead to comparable performance with the ½ comb-DMRS.  Observation 5: The advantage of block structure of PTRS is smaller than having PTRS tones as spread as possible for ICI cancellation.  Proposal 8: Reuse the comb-PTRS structure for NR-U 52.6 to 71GHz and not to pursue either single or multi-block PTRS. |
| [3, ZTE] | Observation 2: ICI compensation based on legacy PTRS can achieve similar or better performance compared with block PTRS and hybrid PTRS under the same PTRS overhead.  Observation 3: The calculation complexity of ICI compensation based on legacy PTRS, block PTRS and hybrid PTRS is similar.  Proposal 4: Reuse the Rel-15 legacy PTRS pattern for 52.6GHz~71GHz. |
| [5, Huawei] | Proposal 1: Reuse the physical design and framework defined in FR2 for 120 kHz, except PTRS.  • From RAN1 specification perspective, 120 kHz SCS can be supported in 52.6-71 GHz with no specification change by simply extending FR2 up to 71 GHz.  Observation 3: Both theoretical analysis and simulation results show that ICI compensation for 960 kHz with high MCS is necessary. Based on the theoretical analysis of the relationship between equivalent ICI and SCS, the same observation applies to the SCS smaller than 960 kHz, like 120 kHz and 480 kHz.  Observation 4: Block PTRS sequence with constant modulus in time domain provides better performance than distributed PTRS.  Observation 5: Block PTRS has more versatility in different scenarios than distributed PTRS, including power boosting and UE with narrow scheduled bandwidth.  Proposal 10: Support block PTRS with ZC sequence for 120 kHz, 480 kHz and 960 kHz SCS with CP-OFDM.  Observation 6: With the PTRS pattern defined in Rel-15 for DFT-s-OFDM, BLER performance of 64QAM with 120 kHz SCS reaches a floor above 10-2 due to the longest interpolation range, and it can be improved by using a new pattern with more PTRS groups.  Proposal 11: A new PTRS pattern with more PTRS groups within one DFT-s-OFDM symbol should be considered to allow scheduling over large bandwidth.  Observation 7: Due to Rx timing shift, (at least part of) a PTRS group placed at the tail of the transmitter’s DFT-s-OFDM symbol, may wrap-around to the head of the symbol from the receiver’s perspective, thus spoiling the original intention of the design and unnecessarily increasing Rx complexity, as well as deteriorating PN compensation performance.  Proposal 12: For PTRS with , the mapping of last PTRS group should consider potential Rx timing shift and avoid the last X pre-DFT symbol(s). |
| [6, Nokia] | Observation 12. Existing PTRS configurations provide good allocation flexibility to achieve good performance for any bandwidth, SCS, or MCS.  Observation 13. Existing PTRS configurations provide the best performance for CPE compensation, and increasing frequency density does not provide any gain.  Observation 14. CPE compensation cannot provide reasonable performance for 120kHz SCS with 400MHz bandwidth when 64-QAM is used.  Observation 15. CPE compensation cannot provide reasonable performance for 480kHz SCS with 1600MHz bandwidth when 64-QAM is used.  Observation 16. CPE compensation provides good performance for 960kHz SCS with 2000MHz bandwidth even when 64-QAM is used.  Observation 17. Existing PTRS configurations provide the best performance for ICI compensation, and increasing frequency density does not provide any gain.  Observation 18. Phase noise compensation is an implementation specific aspect.  Proposal 8. Use existing PTRS configurations for CP-OFDM.  Observation 19. PUSCH performance of DFT-s-OFDM may be improved by increasing the maximum number of PTRS groups with well affordable PTRS overhead.  Observation 20. New PTRS configurations can give many dBs performance gains for high order modulations.  Proposal 9. Consider increasing number of PTRS groups for DFT-s-OFDM to make high order modulations robust to phase noise when a large number of PRBs is used. |
| [9, vivo] | Proposal 2: Reuse Rel-15 PTRS structure based on OFDM for NR operation from 52.6GHz to 71GHz. |
| [10, Mitsubishi] | Observation 1: In bands above 52.6GHz, the ICI component of the phase noise becomes predominant on CPE.  Observation 2: Distributed PT-RS pattern shows poor performance results with CPE phase noise estimation regardless of the PT-RS pattern density.  Observation 3: For a distributed PT-RS pattern, de-ICI Wiener filtering outperforms CPE in all cases, but high MCS still not reach FER=0.1.  Observation 4: Distributed PT-RS patterns are not robust enough to ensure system performance in bands above 52.6GHz.  Observation 5: For a similar overhead, block PT-RS (with any ordinary sequence) is outperformed by distributed PT-RS pattern when a same de-ICI Wiener filter is used at the receiver side.  Observation 6: Block PT-RS with cyclic sequence significantly outperforms the distributed PT-RS pattern with ICI compensation.  Observation 7: Block PT-RS with cyclic sequence requires lower complexity phase noise compensation filtering than the de-ICI filter needed for the distributed PT-RS pattern.  Proposal 1: Support block PT-RS with cyclic sequence for OFDM waveform.  Proposal 2: A PT-RS sequence for OFDM waveform composed of KP samples includes a cyclic prefix of floor(KP/2) samples.  Proposal 3: Support density extension of current Rel.15 PT-RS for DFTsOFDM waveform. |
| [11, MediaTek] | Observation 1: When ICI equalizer is used at the receiver, R-15 PTRS & DMRS design could support normal NR operation with 120 KHz SCS and high MCS at 60 GHz band.  Proposal 1: No DMRS and PTRS enhancements are needed for NR operating at 60 GHz band with 120 KHz SCS. |
| [15, InterDigital] | Observation 8: Enhanced PT-RS does not show significant performance benefits for 480 kHz and 960 kHz.  Proposal 6: PT-RS enhancement for 480 kHz and 960 kHz is not considered for NR 52.6 – 71 GHz. |
| [17, LG] | Observation #1: ICI compensation is required at least for 120 kHz SCS to reduce the performance degradation at high MCS.  Observation #2: The performance gap between the absence of phase noise (PN) and the PN compensation is still observed (about 1 dB at 10% PDSCH BLER) for all SCSs, where phase noise compensation is performed with the least-square (de-ICI filtering) or CPE only compensation.  Proposal #8: PT-RS enhancements can be further considered for all SCSs and high MCS (e.g., 64QAM). |
| [20, Samsung] | Proposal 12: Consider increasing the frequency domain PT-RS density for smaller RB allocation.  - For Rel-15 PT-RS design, consider K=1 as a valid configuration.  - Chunk based PT-RS design offers more flexibility for increasing the frequency domain density of PT-RS.  Proposal 13: For higher data rate (MCS28) with 120kHz SCS, investigate chunk based PT-RS patterns approach when UE complexity is a concern. |
| [21, Ericsson] | Observation 3 Enhanced PT-RS structure with 1 PT-RS symbol every RB (K = 1) does not provide additional performance gain over the existing Rel-15 PT-RS structure (K = 2).  Observation 4 Clustered PT-RS structure can frequently collide with existing NR reference symbols (such as CSI-RS and TRS) with no simple avoidance solution.  Observation 5 A clustered PT-RS structure does not offer a performance advantage over the existing Rel-15 NR distributed PT-RS structure.  Proposal 13 Retain the same Rel-15 distributed PT-RS design for OFDM for NR operation in 52.6 to 71 GHz. Increasing the frequency domain density of PTRS compared to Rel-15 does not provide gains. |
| [22, CEWiT] | Proposal 1: Support for new PT-RS design for NR above 52.6GHz at least for 120KHz SCS.  Proposal 2: Support Block-PTRS as one of the candidates for new PTRS design for NR above 52.6GHz.  Observation 1: The specification impact due to the introduction of new PTRS design should be carefully studied.  Proposal 3: Time density based on MCS, as in FR1 and FR2, is supported. |
| [24, Apple] | Proposal 12: RAN1 should support frequency domain power boosting for PTRS where regulations allow and new PTRS patterns to mitigate time varying phase noise with each symbol. |
| [25, Qualcomm] | Observation 1: With a block PTRS pattern and ICI compensation algorithm,  • The performance of block PTRS improves as the number of clusters increases, due to the higher frequency diversity.  • For the same block PTRS pattern, Algorithm 1 (direct de-ICI filtering) outperforms Algorithm 2 (ICI filter approximation).  • For the same ICI compensation algorithm, the legacy PTRS pattern outperforms the block PTRS pattern.  Proposal 1: As PTRS enhancement for assisting ICI compensation, increasing the frequency domain PTRS density for small RB allocation can be considered. New PTRS patterns other than the Rel-15 design, such as the block PTRS patterns, are not necessary.  Observation 2: For ICI compensation (direct de-ICI filtering) with the legacy PTRS pattern,  • The performance improves with the increasing number of de-ICI filter taps (3 to 5 taps).  • With a fixed transport block size, the performance improves as the PTRS overhead decreases.  o The performance loss due to increased effective code rate is more pronounced at higher MCSs.  • With a fixed effective code rate, the performance slightly improves as the PTRS overhead increases.  Observation 3: When ICI compensation is applied to 120kHz SCS,  • At MCSs 22 and 24, 120kHz SCS with ICI compensation performs almost equal to 960kHz SCS with CPE-only compensation.  • At MCS 26, 120kHz SCS with ICI compensation suffers from residual ICI and is outperformed by 960kHz SCS with CPE-only compensation.  Proposal 2: For SCS 120kHz, supporting the MCSs that require ICI compensation should be based on the UE capabilities. |

### Summary on PTRS

#### For CP-OFDM

As required by the WID regarding whether there’s a need for PTRS enhancement, the following sources evaluated and compared CPE and/or ICI PN compensation performance using the existing Rel-15 NR distributed PTRS structure against new PTRS patterns.

[1, Futurewei] evaluated PDSCH with CP-OFDM performance for all SCSs between comb- and block-PTRS with optimal number of de-ICI filter taps for each SCS. It is observed block-PTRS does not offer BLER performance gain over comb-PTRS across the entire SNR range. (Moderator’s note, it showed ~0.5 dB loss for block-PTRS). It further evaluated multi-block-PTRS, i.e., the PTRS tones in each symbol are separated into a designated number of blocks and observed again no gain for block-PTRS.

[3, ZTE] evaluated PDSCH with CP-OFDM performance with the legacy PTRS, block PTRS and hybrid PTRS for 120 and 480 kHz SCS for 64QAM. It is observed that ICI compensation based on legacy PTRS can achieve similar or better performance compared with block PTRS and hybrid PTRS under the same PTRS overhead.

[5, Huawei] compared BLER performance of 120 kHz SCS with Rel-15 PTRS and block PTRS in CDL- D 20ns delay spread for MCS 22. It is observed a small performance loss (~0.2 dB) for block PTSR compared to Rel-15 PTRS. It reported a slight BLER performance gain (~ 0.3 dB) of block PTRS for 10% BLER target when a sequence with constant modulus in time domain is used with block PTRS. It further observed that with power boosting, the block PTRS performs a little better (~ 0.3 dB) than distributed PTRS, even with the sequence defined in Rel-15.

[6, Nokia] evaluated both CPE and ICI performance and observed that existing PTRS configurations provide the best performance for CPE and ICI compensation, and increasing frequency density does not provide any gain. It is also observed that phase noise compensation in general (including ICI filtering) is an implementation issue.

[9, vivo] evaluated CP-OFDM performance for CPE with Rel-15 PTRS, direct de-ICI filter with Rel-15 PTRS and ICI filter approximation with a clustered PTRS for all SCSs. It is observed that CPE or de-ICI filter with Rel-15 PTRS perform better than ICI filter approximation with a clustered PTRS.

[10, Mitsubishi] compared phase noise compensation performance for the following four cases: CPE-based with Rel-15 PTRS, de-ICI with Rel-15 PTRS, de-ICI with block PTRS and ICI filtering with block PTRS with cyclic sequence for 120 kHz SCS. It is observed that for a similar overhead, block PTRS is outperformed by Rel-15 distributed PTRS patterns when a same de-ICI Wiener filter is used at the receiver side. It also observed that the PN compensation with block-based PTRS and cyclic sequence outperforms de-ICI Wiener filtering with Rel-15 distributed PTRS.

[11, MediaTek] evaluated ICI performance with Rel-15 PTRS and reported that with a ICI equalizer at the receiver side, it is able to provide performance very close to the case when there is no phase noise.

[15, InterDigital] evaluated PN compensation performance for different PTRS density of Rel-15 PTRS and observed that the increased PTRS density does not show significant performance benefits with 480 kHz and 960 kHz SCS.

[17, LG] evaluated CPE and ICI performance with Rel-15 PTRS. It observed performance improvement of ICI compared to CPE at least for 120 kHz SCS and a performance gap (about 1 dB at 10% PDSCH BLER) between the absence of phase noise (PN) and the PN compensation for all SCSs.

[21, Ericsson] first compared CPE and de-ICI filtering performance for all SCSs with Rel-15 PTRS and increased PTRS density. It observed that increased PTRS density does not provide additional performance gain over Rel-15 PTRS. It also compared de-ICI and ICI filter approximation performance based on Rel-15 PTRS and single and multiple clusters of PTRS. It is observed that clustered PT-RS structure does not offer a performance advantage over the existing Rel-15 NR distributed PT-RS structure.

[25, Qualcomm] compared CPE and ICI performance for different PTRS. It is observed that for the same ICI compensation algorithm, the legacy Rel-15 PTRS pattern outperforms the block PTRS pattern.

In addition to BLER performance, some other aspects of PTRS are also discussed.

[5, Huawei] argued that block PTRS is better suited than Rel-15 PTRS when power boosting is applied and/or UE with narrow scheduled bandwidth. [24, Apple] also proposed to support frequency domain power boosting for PTRS where regulations allow.

Both ([10, Mitsubishi], [20, Samsung]) proposed to consider block/chunk based PTRS for ICI filter approximation due to better UE complexity than direct de-ICI filter. However, on the same topic, [3, ZTE] showed a comparable computation complexity for different ICI algorithms and [9, vivo] showed that ICI filter approximation has less complex multiplication and less complex addition but much more matrix inverse operation than de-ICI filter.

It is observed in [21, Ericsson] that clustered PTRS structure can frequently collide with existing NR reference symbols (such as CSI-RS and TRS) with no simple avoidance solution.

[20, Samsung] and [25, Qualcomm] argued that ICI compensation algorithms require larger PT-RS REs than CPE only compensation algorithm. Therefore, they proposed to consider higher frequency domain PTRS density when the allocated RBs is small.

Companies’ views regarding whether to support new block/chunk/cluster PTRS pattern for CP-OFDM are summarized below.

Yes: [5, Huawei], [10, Mitsubishi], [17, LG], [20, Samsung], ([22, CEWiT] at least for 120 kHz), [24, Apple]

No: [1, Futurewei], [3, ZTE], [6, Nokia], [9, vivo], [11, MediaTek], [15, InterDigital], [21, Ericsson], [25, Qualcomm]

Moderator’s comment:

Looking at these extensive evaluation results from all contributions, companies have different views regarding whether there is significant performance gain of new PTRS patterns compared to existing PTRS. Hence, there’s no consensus with respect to the need of PTRS enhancement.

##### Proposal 3-1 for discussion:

* Use existing PTRS design for CP-OFDM for NR operation in 52.6 to 71 GHz.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | Support moderator’s proposal. |
| Mitsubishi | We do not agree with Moderator’s view. As briefly discussed online today, we saw in our evaluations that clustered PT-RS with cyclic sequence significantly outperforms Rel.15 pattern + de-ICI filter, while clustered PT-RS (single or multi-block) with non-cyclic sequence doesn’t. Most of the contributing companies have only simulated the latter case, and the lack of improvement they rightfully see comes from the non-cyclic sequence, and not from the clustered pattern. We do not agree on concluding to keep Rel.17 pattern based on these partial results. We propose to further investigate clustered/multi-block PTRS with cyclic sequence, shown to bring gain by several companies. |
| Xiaomi | Support moderator’s proposal. |
| ZTE, Sanechips | Support moderator’s proposal.  We do see some companies’ results show that block PTRS with cyclic sequence shows better performance than legacy PTRS, but most companies show that ICI compensation based on legacy PTRS could also work well even for 120kHz, so we don’t see the need to further enhance the PTRS pattern. |
| Ericsson | Support moderator's proposal  We found from extensive evaluation, that enhancements that increase the density of PTRS result in a net loss in performance and/or throughput. This is because the gain of potentially better phase noise mitigation does not make up for the loss of coding gain due to higher PTRS overhead, particularly for the higher MCS modes. |
| Qualcomm | * The clustered PTRS patterns do not provide performance enhancements compared with legacy PTRS patterns, and they are more vulnerable to frequency selective fading. Therefore, we support reusing the legacy pattern for 52-71GHz band. * To enable ICI compensation for small RB allocation, enough number of PTRS tones is needed for filter coefficients calculations, thus increasing the density to K=1 for small RB allocation is needed. * For 120KHz, an MCS capability should be defined for the new band as the phase noise ICI compensation may affect the current processing timeline. |
| DOCOMO | We support the moderator’s proposal. |
| Samsung | We are inclined to keep PTRS enhancement like blocked PTRS as an option. As shown in [5][10], the later provides benefits when with additional modifications like cyclic sequence and power boost.  We observed that most of the evaluation seems based on full or near full RB allocation. The conclusion that existing PTRS design is enough seems to ignore the low RB allocated case, which the training of de-ici filter may not converge. Are we not going to support lower frequency allocation case in 52.6 to 71GHz? |
| Nokia/NSB | Support the proposal.  Evaluations shows little gain from the new PTRS structure. |
| Huawei, HiSilicon | We disagree with the proposal and we agree with the comment from Mitsubishi.  Observations from companies who propose no enhancement on performance and complexity are based on evaluations or analysis that did not consider the use of cyclic sequences. With the use of cyclic sequences, such as with a circular mapping of a ZC sequence, a reasonable gain is observed. Our evaluations only slightly increased the PTRS overhead (16/(12\*64)=>17/(12\*64)), and gains in spectral efficiency were still observed.  Companies should go back and evaluate enhancement PTRS with cyclic sequences before a conclusion can be drawn. We suggest to discuss the evaluation assumptions and candidate PTRS to evaluate for this study with results to be provided for RAN1#104b.  At least the following should be considered for further evaluations:   1. Use of cyclic sequences, such as with a circular mapping of a ZC sequence, which ensures low complexity of ICI estimation, where matrix inversion can be avoided by matrix multiplication. 2. Block PTRS can maintain the merits of power boosting when ICI estimation is needed. 3. Block PTRS can be used as a common RS to address the problem of ICI estimation with small scheduled bandwidth |
| Intel | While we should not change existing features, such as PT-RS, unless there is strong need to do so, we think some further considerations could be beneficial, especially for MCS above 22 (which were not typically simulated during SI), and with higher Rank transmissions.  We may also need to factor into account receiver complexity required to make transmissions work well and potential ways to help reduce receiver complexity.  So we would prefer this to be baseline for further study, and would not like to close the door down at this time.  With this said, if the agreement is to simply state we will support existing PT-RS patterns for NR operating in 52~71GHz, we are supportive. However, in this case, we are not sure if we need an explicit agreement. We assumed unless there is an explicit agreement, existing NR features would be inherited unless they are inherently broken for this band. |
| InterDigital | We support the proposal. |
| vivo | Support moderator’s proposal |
| Lenovo, Motorola Mobility | We agree with moderator’s proposal |
| Convida Wireless | We agree with moderator’s proposal. |
| Sony | Support moderator’s proposal. |
| CEWiT | We agree with Mitsubishi and Huawei’s views.  We propose to further investigate block PTRS with both cyclic and non-cyclic sequences before drawing a conclusion. |
|  |  |
| Moderator | Several companies disagree with the proposal and propose to further study. Proposal revised below on FFS points |

##### Proposal 3-1a for discussion:

Further study on the need of potential PTRS enhancement for at least the following aspects with respect to phase noise compensation performance:

* PTRS density and sequence
* Frequency domain power boosting
* Different RB allocation
* Different MCS
* Different Rank transmission
* Receiver complexity

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | For performance comparison between two designs with different PTRS overhead, the same TBS must be used such that performance takes into account different effective coding rates. Similarly, for performance between boosting/no boosting, the same total power must be considered for both cases. |
| Mitsubishi | To avoid repeating the same situation in the next meeting, some guidance on the patterns/sequences would be useful. From this perspective, I would like to cite explicitly the cyclic sequence candidate shown beneficial in several contributions, and the candidate patterns, so we could rely on more aligned simulation settings in the next meeting.  Regarding Ericsson’s comment, the point is valid, but we don’t necessarily have to endorse fixed TBS to fix this. To reflect the overhead and effective coding rate impact, presenting spectral efficiency results can also solve the problem for example. I propose thus the following amendments to FL’s proposal:  Further study on the need of potential PTRS enhancement for at least the following aspects with respect to phase noise compensation performance:   * PTRS ~~density,~~ pattern (e.g. distributed, block-based) and sequence, including cyclic sequence * PTRS overhead and impact on effective coding rate * Frequency domain power boosting * Different RB allocation * Different MCS * Different Rank transmission * Receiver complexity |
| Spreadtrum | We are fine with the updated proposal. |
| LG Electronics | We are ok to further study for common understanding from several companies. In this case, it may be helpful to use the same evaluation assumptions (e.g., the same set of number of RBs are recommended for performance comparison of different RB allocations). |
| DOCOMO | We are ok with the Proposal 3-1a. |
| Nokia/NSB | Before we are going to agree on the new proposal, it is better to check the temperature on proposal 3-1. Ericsson’s proposal looks fine. PTRS power boosting will reduce PDSCH SNR and impact to PDSCH to DMRS EPRE value. All the aspects should be considered. |

#### For DFT-s-OFDM

As required by the WID regarding whether there’s a need for PTRS enhancement, the following two sources evaluated PTRS enhancement for DFT-s-OFDM.

[5, Huawei] evaluated a new PTRS pattern with more PTRS groups within on DFT-s-OFDM symbol. It is observed that for the same overhead, BLER performance of 64QAM with 120 kHz SCS can be improved by using a new pattern with more PTRS groups within one DFT-s-OFDM symbol.

[6, Nokia] compared PUSCH performance of DFT-s-OFDM with different PTRS configurations and showed performance improvement of 64QAM with 120 kHz SCS by increasing the maximum number of PTRS groups and keeping the same number of samples per group (i.e. with increased total PTRS overhead).

Although there’s no evaluation results for DFT-s-OFDM, [10, Mitsubishi] also proposed density extension of current Rel.15 PTRS for DFT-s-OFDM waveform.

[5, Huawei] brought up another issue of PTRS group placement for PTRS with It observed that due to Rx timing shift, (part of) a PTRS group placed at the tail of the transmitter’s DFT-s-OFDM symbol, may wrap-around to the head of the symbol from the receiver’s perspective, thus deteriorating PN compensation performance.

Moderator’s comment:

Compared to CP-OFDM, there’re much less evaluation results on the performance of PTRS enhancements for DFT-s-OFDM. Two contributions showed performance gain only for a limited case (64QAM with 120 kHz SCS) which is hard to tell whether the enhancement should be applied to DFT-s-OFDM in general to all SCSs under all conditions. Companies are encouraged to evaluate other cases and clarify their proposal(s) in order to reach agreement on PTRS enhancements for DFT-s-OFDM.

##### Proposal 3-2 for discussion:

* FFS: PTRS pattern with more PTRS groups within one DFT-s-OFDM symbol when a large number of PRBs is scheduled for NR operation in 52.6 to 71 GHz.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Mitsubishi | Agree with Moderator’s proposal. |
| ZTE, Sanechips | Agree with Moderator’s proposal, this may need more evaluations. |
| Qualcomm | More evaluations are needed to justify increasing the PTRS total number of samples |
| DOCOMO | We are fine with the FFS above. |
| Samsung | We are ok with FL’s proposal. |
| Nokia/NSB | Support Moderator’s proposal. |
| Apple | Support the moderator’s proposal |
| Huawei, HiSilicon | A more constructive proposal would be preferable rather than just an FFS point. We would suggest that the proposal includes the moderator’s proposal from the summary that companies are encouraged to evaluate PTRS pattern with more PTRS groups within one DFT-s-OFDM symbol especially with large bandwidth allocation, in order to reach agreement on whether to specify PTRS enhancements for DFT-s-OFDM.  If clarification is still needed on the proposal, we propose the PT-RS enhancements with DFT-s-OFDM for all values of SCS (120, 480, 960).  We suggest companies to evaluate the following:   * PTRS pattern with more PTRS groups within one DFT-s-OFDM symbol especially with large bandwidth allocation * PTRS pattern without mapping PTRS to the last X pre-DFT symbol(s) with |
| Intel | Ok to further study. |
| InterDigital | We are fine with the proposal. |
| vivo | Support the moderator’s proposal |
| Lenovo, Motorola Mobility | We are fine with the proposal |
| Sony | Support moderator’s proposal. |
| Spreadtrum | We are fine with the proposal. |

#### Other issue(s)

Please provide comments if any on any missed issue(s) about PTRS.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Apple | Given that we may be using an analog beamformer, it may be impossible to share power across antenna ports and not allow power boosting. RAN1 should investigate the frequency domain power boosting. |
| Moderator | Respond to Apple’s comment:  Point added in proposal 3-1a. |
|  |  |

## 2.4. DMRS

### Individual observations/proposals

The following are individual observations/proposals from the contributions.

|  |  |
| --- | --- |
| Sources | Observations/proposals |
| [1, Futurewei] | Observation 1: With larger SCSs and higher channel frequency-selectivity, the number of DMRS symbols within the coherence bandwidth of the channel is significantly decreased; thus, channel estimation with comb-DMRS and interpolation may be subject to excessive error.  Observation 2: Under larger DS values, the BLER performance for SCSs 480kHz and 960kHz degrades from the performance of the Rel-15 compliant comb-DMRS structure with FD interpolation. The proposed non-interpolation method with no FD averaging almost always leads to the best performance among the four CE methods. For lower SCS 120kHz, the comb-DMRS offers desirable performance.  Proposal 3: With higher SCSs employed, a comprehensive evaluation of the effect of high frequency-selectivity on the accuracy of channel estimation, and in turn, the link performance is necessary.  Proposal 4: Study if block-DMRS can be further enhanced or if there are other DMRS structures that lead to comparable performance with the ½ comb-DMRS.  Proposal 5: The necessity of recommending a dedicated DMRS format for different MCS values is not supported by the current evaluation.  Observation 3: Performance losses are observed when the type-2 DMRS over type-1 DMRS are used, especially for the higher SCS. |
| [2, Lenovo] | Observation 3: For higher SCS values such as 480kHz and 960kHz, BLER performance difference between the ideal channel estimation and real channel estimation varies for different SCS values, where, as the subcarrier spacing is increasing, the performance degradation with real channel estimation also increases which could be attributed to the performance of DM-RS configuration with different SCS values.  Proposal 3: For supporting NR between 52.6 GHz and 71 GHz with high subcarrier spacing values including 480kHz and 960kHz, new DM-RS configurations should be supported with following criterion:   * High frequency density of the DM-RS for high SCS for better channel estimation when channel coherence bandwidth is less than the configured SCS * Reduced number of DM-RS ports as the performance gain of high rank MIMO channels is expected to be limited in this FR |
| [3, ZTE] | Observation 4: Rel-15 DMRS Type 1 pattern and the new DMRS pattern that fully occupied in frequency domain show comparable performance.  Proposal 5: Reuse the Rel-15 legacy DMRS pattern for 52.6GHz~71GHz.  Proposal 6: Consider to relax the restriction on DMRS ports for PUSCH and PDSCH when PTRS is configured.  Proposal 7: Consider the impact of phase noise on port number of other reference signals and control signals. |
| [4, OPPO] | Proposal 4: Enhancements to DMRS pattern for 480kHz and 960kHz SCSs in the new frequency range should be supported. |
| [5, Huawei] | Observation 2: To provide enough accuracy of channel estimation, DMRS of multiple slots should be combined for channel estimation for multi-PDSCH scheduling, which increases the delay of channel estimation if only one FL-DMRS symbol is used per scheduled slot.  Proposal 9: Support multiple consecutive symbols of FL-DMRS for the multi-slot scheduling, whose absolute time duration is same as that of 120 kHz. |
| [6, Nokia] | Proposal 5: Study the solution to support time-domain PRB bundling when multi-PDSCH scheduling is supported. The existing DMRS time-domain pattern is reused unless any critical performance degradation is identified.  Observation 21: Existing RAN1 specification provides support for flexible configuration of different DMRS antenna ports belonging into same or different CDM groups for rank-1 and rank-2.  Observation 22: For rank-1, type-1 and new type (“comb-1”) w/o OCC-2 can achieve better BLER performance of PDSCH compared with the type-2 DMRS w/o OCC-2 with SCSs =480 and 960 kHz.  Observation 23: For rank-2, both type-1 and type-2 DMRS w/o OCC-2 outperfom other DMRS types in BLER performance with SCSs=480 and 960 kHz.  Observation 24: Type-1 w/o OCC-2 outperforms in BLER performance other DMRS types in the most of the considered cases.  Observation 25: It is reasonable to provide a specification support for DMRS of PDSCH/PUSCH to be optimized only up to rank-2 in Rel-17 for at higher carrier frequencies (>52.6 GHz).  Observation 26: New DMRS type (irrespective of rank 1 or rank 2) does not provide any possibility for multiplexing of it with any other type of signal/RS/channel into same OFDM symbol.  Observation 27: Due to additional RS overhead associated with the new DMRS type, the usage of new DMRS type leads to reduced achievable PUSCH/PDSCH throughput in comparison with type-1 DMRS w/o OCC.  Observation 29: It is not feasible to introduce new DMRS type for PUSCH/PDSCH in Rel-17 for above 52.6 GHz.  Proposal 10: No additional DMRS pattern is supported in Rel-17 for above 52.6 GHz. |
| [9, vivo] | Proposal 3: Retain DMRS OCC in frequency domain based on OFDM for NR 52.6GHz to 71GHz. |
| [11, MediaTek] | Observation 1: When ICI equalizer is used at the receiver, R-15 PTRS & DMRS design could support normal NR operation with 120 KHz SCS and high MCS at 60 GHz band.  Proposal 1: No DMRS and PTRS enhancements are needed for NR operating at 60 GHz band with 120 KHz SCS. |
| [12, Intel] | Proposal 5: Indicate to UE that CDM groups, signaled in scheduling DCI, do not contain potential co-scheduled DMRS. |
| [15, InterDigital] | Observation 6: Type-2 DM-RS shows performance loss due to insufficient RS density in frequency domain.  Observation 7: Type-1 DM-RS shows performance loss due to FD-CDM in nonconsecutive REs.  Proposal 5: Support proposed DM-RS pattern for PDSCH and PUSCH with larger SCSs. |
| [16, Sony] | Proposal 9: DMRS mapping in the frequency domain should be redesigned for new SCS   At least 2 DMRS configurations for large and small delay spread environments should be specified.   For large delay spread environment, high frequency dense DMRS mapping should be considered. |
| [21, Ericsson] | Proposal 14 Support a configuration of DMRS Type-1 that disables frequency domain CDM (FD-CDM) within the same comb (CDM group) for 480/960 kHz. This results in the following restrictions:  • For single-symbol DMRS: Rank 3,4 not supported  • For double-symbol DMRS: Ranks 5 – 8 not supported |
| [22, CEWiT] | Proposal 4: Support for a new DMRS design for NR above 52.6GHz to improve channel estimation accuracy. |
| [23, Charter] | Proposal 3: High-density PDSCH DMRS (12 REs per PRB), should be considered for further enhancing performance of NR beyond 52.6 GHz. |
| [24, Apple] | Proposal 11: To account for transmission with large SCSs in low coherence BW channels,  • turn on or off the FD-OCC based on the scenario the channel is in  • configure the UE with a DMRS pattern based on the new SCSs and the coherence bandwidth of the channel |
| [25, Qualcomm] | Observation 4: For channels with larger DS, the main reason of performance degradation with the larger SCS is the loss of orthogonality, and the gain from increasing the frequency density of the DMRS tones is limited, i.e., the performances of Config.1 with no CDMing and the new configuration with no CDMing are very close to each other.  Proposal 3: For DMRS enhancement for high SCSs, while communicating over channel with large DS, for rank 1, a single port should be used from one CDM group and the remaining ports from the same group should not be assigned to other UEs. This information should be signaled to the UE via the scheduling DCI.  Proposal 4: Study DMRS bundling for multi-PDSCH/PUSCH transmission, at least for the case when there is no gap between transmissions.  Proposal 5: Study DMRS overhead reduction for multi-PDSCH/PUSCH transmission, at least for the case when there is no gap between transmissions. |
| [26, NTT DoCoMo] | Proposal 3: Denser DMRS pattern in frequency domain should be supported for new SCSs. |

### Summary on DMRS

Three aspects of DMRS enhancements are discussed in the contributions.

#### Frequency domain density and number of DMRS port

As required by the WID regarding whether there’s a need for DMRS enhancement for 480 and 960 kHz SCS, the following sources evaluated and compared BLER performance using the existing comb DMRS pattern against some new DMRS patterns.

[1, Futurewei] compared the PDSCH BLER performance based on existing comb-DMRS with different channel estimation methods against a block-DMRS of the same overhead. It is observed that non-interpolation method with no FD averaging as channel estimation based on comb-DMRS performs better than block DMRS for 480 and 960 kHz SCS under MCS7/16/22. It also compared performance of existing type-1 and type-2 DMRS and observed performance loss for type-2 DMRS for high SCS.

[2, Lenovo] also evaluated BLER performance of DMRS mapped to each RE in frequency domain and showed about 1 dB gain for 960 kHz SCS compared to existing type-1 DMRS. It also proposed to reduce number of DM-RS ports as the performance gain of high rank MIMO channels is expected to be limited in this FR.

It is observed in [3, ZTE] that for 480kHz and 960kHz, new DMRS pattern with higher DMRS density is slightly better (less than 0.5dB gain) than Rel-15 DMRS Type 1, both in low delay spread and high delay spread when ideal PN estimation and compensation is assumed.

[4, OPPO] compared performance among Type-1 DMRS pattern, Type-2 DMRS pattern and a new DMRS pattern for all SCSs under MCS16. It observed similar performance between the new FDM pattern and Type-1 FDM pattern. It also observed performance gain (0.8 dB for 480 kHz and about 1.5 dB for 960 kHz SCS) of the new CDM pattern compared to existing CDM patterns.

[6, Nokia] compared BLER performance of rank-1 and rank-2 PDSCH for different DMRS configuration options w/ and w/o OCC-2 (i.e. Rel-15 type-1, Rel-15 type-2 and new type (“comb-1”) ) without any phase noise impairments for 480 and 960 kHz SCS. It is observed that new type DMRS does not outperform Type-1 w/o OCC-2.

[15, InterDigital] compared BLER and throughput performances of Rank 2 with MCS 7 and 16 for 480 and 960 kHz SCS. It observed performance gain of an enhanced DMRS pattern with increased density.

[21, Ericsson] compared BLER performance of rank-1 PDSCH for type-1 DMRS with that of an ideal channel estimation for 480 and 960 kHz SCS. It is observed that for MCS 22/24/26/28 the gap in performance between genie/practical channel estimators is insignificant (< 0.9 dB) for all DS evaluated. In other words, there is little room for improvement using an enhanced DMRS design.

[23, Charter] compared PDSCH performance of higher-density DMRS (12 REs per PRB) with that of Rel-15 DMRS for 960 kHz SCS. It observed 0.2~0.3 dB gain for MCS22 and 1.3 dB gain for MCS26.

[25, Qualcomm] compared PDSCH performance of a new DMRS pattern featured by high frequency density (i.e., every RE) and 2-FD-OCC across adjacent REs with existing type-1 and type-2 DMRS patterns with 960kHz SCS for TDL-A channels with DS 20ns. It is observed that the gain from increasing the frequency density of the DMRS tones is limited (e.g., < 0.2 dB when CDM is off for MCS22/24/26).

[26, NTT DoCoMo] have evaluated PDSCH BLERs with 480 and 960 kHz SCS for three DMRS types with two-layer transmission, (a) Rel-15 DMRS type 1, (b) type 2, and (c) a new DMRS type with DMRS on every RE in the symbol containing DMRS. It observed about 0.5 to 1 dB gain of full-density DMRS compared to Type 1 for 480 and 960 kHz SCS in TDL-A with 10ns DS.

In addition to BLER performance, other aspects of block DMRS including the possibility for multiplexing of it with any other type of signal/RS/channel into same OFDM symbol, extra overhead and computational complexity of channel estimation are discussed in [6, Nokia].

In summary, multiple contributions ([2, Lenovo], [4, OPPO], [15, InterDigital], [23, Charter], [26, NTT DOCOMO]) showed performance gain of new DMRS patterns with increased frequency domain density while other contributions ([1, Futurewei], [3, ZTE], [6, Nokia], [21, Ericsson], [25, Qualcomm]) showed that insignificant gain or performance loss of new DMRS pattern over existing DMRS pattern.

Moderator’s comment:

In light of the available evaluation results from all contributions, it seems companies have different views and there’s no consensus regarding whether there is significant performance gain and hence the need of new DMRS patterns with increased frequency domain density compared to existing DMRS.

##### Proposal 4-1 for discussion:

* Use existing DMRS patterns for NR operation in 52.6 to 71 GHz.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | Support moderator’s proposal |
| Xiaomi | Support moderator’s proposal. |
| ZTE, Sanechips | Support moderator’s proposal. |
| Ericsson | Support moderator's proposal |
| Qualcomm | We support the proposal as there is no need to introduce a new DMRS configuration for the new band, sending the DMRS over every RE does not provide a significant performance enhancement compared with using DMRS configuration type 1 with no CDMing |
| DOCOMO | We agree the existing DMRS patterns would work in some cases. In this sense, we are ok with the moderator’s proposal.  On the other hand, quite some companies including DOCOMO have the evaluation results showing the benefit of increased DMRS density. We think this point should be discussed further. Thus, we propose to add “FFS: whether to introduce different DMRS pattern than the existing ones in Rel-15/16”. |
| Samsung | We are ok with FL’s proposal. |
| Nokia/NSB | Support the proposal. |
| Apple | We are okay with the FL’s proposal |
| Huawei, HiSilicon | It is difficult to understand how the proposal relates to frequency domain density and number of DMRS ports. The proposal is too general and should be reformulated to focus on these topics, otherwise it preempts the entire discussion of section 2.4 including proposals 4-2 and DMRS aspects related to multi-slot scheduling.  Proposal (revised):   * DMRS frequency domain density (in unit of number of subcarriers) is reused from FR2. * The number of DMRS ports supported is the same as in FR2. |
| Intel | If DMRS pattern here refers the REs utilized for transmission of DMRS modulated symbols, yes, we support the proposal. It might be good to clarify this. |
| InterDigital | We agree with Docomo’s proposal. |
| vivo | Support moderator's proposal |
| Lenovo, Motorola Mobility | In our view, at least one of the following options should be considered for DM-RS enhancements:  Option 1: Design new DMRS pattern with increased density in frequency  Option 2: Restrict the number of DM-RS ports with current configurations to reduce the impact of OCC in frequency.  Option 2 is related to Proposal 4-2.  So, we can agree to not support new DMRS patterns only if at least the main bullet for Proposal 4-2 can be agreed i.e. OCC can be turned off for current pattern |
| Convida Wireless | We support moderator's proposal. |
| Sony | We agree with Docomo’s proposal. |
| CEWiT | Phase noise introduces ICI effects for frequencies above 52.6 GHz. Since channel estimates and ICI coefficients cannot be separated, employing the same DMRS pattern may lead to incorrect channel estimates. Therefore, we propose to consider new DMRS patterns for NR operation in 52.6–71 GHz. |
| Charter | We agree using the existing DMRS patterns. A further study on new DMRS pattern could be beneficial. |
|  |  |
| Moderator | Several companies propose to further study instead of concluding this topic in this meeting. Proposal revised below on FFS points |

##### Proposal 4-1a for discussion:

Further study on whether to introduce different DMRS pattern with increased frequency domain density (in number of subcarriers) than the existing DMRS patterns.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | For performance comparison between two designs with different DMRS overhead, the same TBS must be used such that performance takes into account different effective coding rates. |
| Spreadtrum | We are fine with the updated proposal. |
| LG Electronics | We think the updated proposal is still unclear. As Huawei and Intel pointed out for Proposal 4-1, it would be good to revise the proposal with separate two issues: 1) whether to support of DMRS ports same as FR1/FR2, and 2) whether to introduce different DMRS pattern in frequency domain for single DMRS port. We agree to further study for both aspects. |
| DOCOMO | We support the Proposal 4-1a. |
| Nokia/NSB | We see the original proposal is supported by big majority. It is better to try the original proposal for making progress. |

#### Frequency domain OCC

[6, Nokia] compared BLER performance of rank-1 and rank-2 PDSCH for different DMRS configuration options w/ and w/o OCC-2 (i.e. Rel-15 type-1, Rel-15 type-2 and new type (“comb-1”) ) without any phase noise impairments. It is observed that Type-1 w/o OCC-2 outperforms other DMRS configurations.

[9, vivo] compared PDSCH BLER performance of type-1 DMRS with and without OCC for 480KHz and 960 KHz SCS with 64QAM, while the phase noise is compensated with CPE only approach. It observed no obvious gain for 480 kHz and small gain (< 0.8 dB) for 960 kHz SCS of type-1 DMRS without OCC only at large delay spread.

[12, Intel] evaluated PDSCH performance with and without frequency domain OCC being enabled for DMRS. For higher order modulation such as 64QAM (MCS 22), it observed the performance drop when OCC is enabled.

[21, Ericsson] compared BLER performance of rank-2 PDSCH for type-1 DMRS with and without FD-CDM against that of an ideal channel estimation for 480 and 960 kHz SCS. It is observed that for MCS 22/24/26/28, there’s performance gain without FD-CDM especially for large DS and very high MCS.

[24, Apple] evaluated PDSCH performance of type-1 DMRS with and without FD-OCC for 960 kHz SCS. It observed that at high frequency selectivity (low coherence bandwidth for large delay spread) there is a benefit in turning off the FD-OCC and at lower frequency selectivity (high coherence bandwidth with small delay spread), there is no difference in the performance.

[25, Qualcomm] compared PDSCH performance of a new DMRS pattern featured by high frequency density (i.e., every RE) and 2-FD-OCC across adjacent REs with existing type-1 and type-2 DMRS patterns with 960kHz SCS for TDL-A channels with DS 20ns. It is observed that for channels with larger DS, the main reason of performance degradation with the larger SCS is the loss of orthogonality. It showed performance gain without CDM for MCS22/24/26.

Based on the evaluation results, multiple sources [12, Intel], [21, Ericsson], [24, Apple], [25, Qualcomm] proposed to support a configuration of Type-1 DMRS where FD-CDM can be turned off, that is for rank 1, a single port should be used from one CDM group and the remaining ports from the same group should not be assigned to other UEs. [12, Intel] and [25, Qualcomm] further proposed to indicate this to UE via DCI.

Moderator’s comment:

Four sources ([12, Intel], [21, Ericsson], [24, Apple], [25, Qualcomm]) explicitly proposed to turn off FD-OCC, while one source ([9, vivo]) suggested to retain OCC. The following proposal is formulated based on the above for discussion.

##### Proposal 4-2 for discussion:

* Support a configuration of DMRS where OCC can be turned off within the same CDM group for 480 kHz and 960 kHz SCS in 52.6 to 71 GHz
* The indication when OCC is off is signaled to UE via DCI.

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | We support the first bullet. For the second one we think that should be FFS at this time. |
| LG Electronics | Same view with Futurewei. |
| ZTE, Sanechips | We are fine with the first bullet. We think that OCC can be switched by the the MCS or the density of PTRS, e.g. if time domain density of PTRS is L=1 or 2, which means that MCS is quite large and PTRS is needed, then OCC can be turned off. |
| Ericsson | We support the first bullet for the case of Type-1 DMRS pattern. It is questionable whether Type-2 DMRS pattern is usable at 480/960 kHz due to the larger gap between different CDM groups which causes difficulty in interpolation for dispersive channels.  It seems a bit early to conclude on the 2nd bullet.  Hence we recommend the following rewording (note that OCC's are always applied within a CDM group, so no need to qualify that)  Revised Proposal:   * Support configuration of DMRS Type-1 in which FD-CDM is disabled for 480 kHz and 960 kHz SCS * FFS: Details on whether and how to indicate that FD-CDM is disabled |
| Qualcomm | We support the proposal.   * An adaptive DMRS port scheduling is needed to allow scheduling the UE with a port from a CDM group and indicating that the remaining ports from the same group are not used by another UE, based on the channel conditions and MCS. * The indication can be explicit by using the reserved entries in the DMRS configuration tables or introducing the new bit to indicate the presence/absence of the other DMRS ports with the CDM group * For rank 2 transmission, two DMRS ports, each for a different CDM group, e.g. port 0 and port 2, from configuration type one, while the remaining ports from the CDM groups are not assigned to another UE |
| DOCOMO | We support the 1st bullet. For the 2nd bullet, although we are ok with turing on/off via DCI, it may be premature to say so at this moment. |
| Samsung | We believe it’s premature to conclude the enhancement is needed. Comparing to the evaluation results for PTRS and DMRS configuration, we didn’t observe a larger gain for turning off OCC. More discussion is needed for this issue. |
| Nokia/NSB | Do not support.  Rel-15/16 already support DMRS pattern without FD-OCC with antenna port mapping of {0, 2} in DCI. Assuming rank 2 is the most practical case in 60GHz, we don’t see the necessity of further enhancement.  Regarding to inter-UE interference, we think MU-MIMO pairing is very difficult in higher frequency due to narrow beam. No additional signaling to indicate MU-MIMO transmission is required. |
| Apple | We support the FL’s proposal |
| Huawei, HiSilicon | Perhaps the proposal could just provide a list of candidates for the time-being as it seems from the feedback that more study is needed on whether OCC needs to be turned off or is needed at all. |
| Intel | We are supportive of the first bullet.  For the second bullet on whether this should be dynamically signaled in DCI, or RRC configured, or just fixed in specification, we believe this merits further discussions.  For the dynamically signaled method, this can potentially have some implications on the UE, as it might mean UE is expected to handle both cases regardless of the situation. Because of this we think further discussion is needed. |
| InterDigital | We are not fine with the proposal. We agree with Nokia that DMRS without FD-OCC can be achieved by indicating antenna port {0,2} by gNB implementation. However, we don’t think that MU-MIMO pairing is very difficult as inter-UE interference reduces due to high pathloss and narrow beam. |
| vivo | We think further study and evaluation is needed to verify that this enhancement is needed. From our observation, no much gain is achieved by turning off OCC. However, the loss is obvious on UE multiplexing capacity. |
| Lenovo, Motorola Mobility | We agree with the first bullet, but further discussion is needed on exactly how to turn of OCC. One method is explicit signaling a suggested in second bullet. Other method could be implied based on maximum number of ports that are allowed to be used with 1-symbol and 2-symbol DM-RS |
| Sony | We support first bullet. Second bullet needs to be discussed further. |
|  |  |
| Moderator | Several companies propose to further study instead of conclude this topic in this meeting. Proposal revised below on FFS points |

##### Proposal 4-2a for discussion:

Further study on at least the following aspects of potential DMRS enhancement with respect to FD-OCC:

* whether to support a configuration of DMRS in which FD-OCC is off for 480 kHz and 960 kHz SCS
  + Applicability to Type-1 and/or Type-2 DMRS
  + Details on whether and how to indicate when FD-OCC is off
* UE multiplexing capacity and inter-UE interference in MU-MIMO

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Ericsson | Support proposal |
| Spreadtrum | We are fine with the updated proposal. |
| LG Electronics | We agree to further study for having a common view on whether turning off FD-OCC can achieve the performance gain. And, if so, detailed method of indication can be specified. |
| DOCOMO | We support the Proposal 4-2a. |
| Nokia/NSB | Need clarification. DCI based turn-off is already supported (Index 11 below for type 1, and type 2 also has similar port mapping). Is the proposal disabling DCI indication but RRC-configuration instead? We think this is up to network scheduling.  Also, MU-MIMO in higher frequency is not practical, and because up to 4 ports are supported when PT-RS is enabled, implantation-based solution (e.g. IRC receiver) can solve the issue.  Table 7.3.1.2.2-1: Antenna port(s) (1000 + DMRS port), *dmrs-Type*=1, *maxLength*=1 (DCI 1\_1)   |  |  |  | | --- | --- | --- | | **One Codeword:**  **Codeword 0 enabled,**  **Codeword 1 disabled** | | | | **Value** | **Number of DMRS CDM group(s) without data** | **DMRS port(s)** | | 0 | 1 | 0 | | 1 | 1 | 1 | | 2 | 1 | 0,1 | | 3 | 2 | 0 | | 4 | 2 | 1 | | 5 | 2 | 2 | | 6 | 2 | 3 | | 7 | 2 | 0,1 | | 8 | 2 | 2,3 | | 9 | 2 | 0-2 | | 10 | 2 | 0-3 | | 11 | 2 | 0,2 | | 12-15 | Reserved | Reserved | |

#### Multi-slot DMRS

In [5, Huawei], it proposed multiple consecutive symbols of FL-DMRS for the multi-slot scheduling. Similar considerations are mentioned in [25, Qualcomm] to study DMRS bundling and DMRS overhead reduction for multi-PDSCH/PUSCH transmission, at least for the case when there is no gap between transmissions. On the same topic, [6, Nokia] proposed to use the existing DMRS time-domain pattern for multi-slot scheduling unless any critical performance degradation is identified.

Moderator’s comment:

With limited input on this topic, suggest companies to study further and have more concrete proposals to discuss.

Companies are encouraged to provide comments and/or suggestions on agreeable proposals if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Futurewei | We support further DMRS enhancements for multi-slot scheduling if they provide performance benefits. |
| LG Electronics | In our view, there’s no strong motivation to study more about it now. |
| Xiaomi | Open to discuss if it shows considerable benefits from simulation. |
| ZTE, Sanechips | We think that combined estimation of DMRS in different slots doesn’t have spec impact. As for new time domain DMRS pattern, we don’t see the necessity at this moment. |
| Qualcomm | * DMRS bundling and overhead reduction should be studied for multi-PDSCH/PUSCH grants, as well as the requirements of maintaining phase continuity, and the impact on the processing timeline. * With a smaller number of DMRS symbols, it may be beneficial to introduce new reference signals to track and estimate the bursty interference. The new signals can be used for interference covariance () estimation to enhance the demodulation |
| Samsung | We agree to further investigate the DMRS overhead reduction (e.g. DMRS bundling). |
| Nokia/NSB | We are fine to study time domain PRB bundling for multi-slot scheduling.  But, we don’t support DMRS overhead reduction. |
| Apple | Agree that the combined DMRS estimation using the existing time domain pattern is an implementation issue. Would need to see improved performance benefits to support a change in the TD pattern. |
| Huawei, HiSilicon | The topic of multi-slot DMRS relates to whether to allow cross-slot channel estimation (note that this is an objective for PUSCH coverage enhancement in the NR coverage enhancement WI), which also relates to whether DMRS are present in every slot of a multi-slot PDSCH/PUSCH allocation, since with fewer slots carrying DMRS may require a solution for recovering channel estimation performance e.g. by bundling consecutive DMRS symbols and/or allowing joint channel estimation across slots.  A more critical point to note for further discussion is whether DMRS (including front-loaded DMRS) should be mapped to every slot of a multi-slot PDSCH/PUSCH allocation. The problem with mapping DMRS to every slot is that channel estimation cannot start until the last slot of the allocation, which would leave way too little time for PDSCH processing after the end of the allocation with SCS 480 and 960 kHz SCS, or would not allow fast HARQ feedback, because the slot duration is very short with 480 and 960 kHz SCS. One solution to consider is that DMRS may only be mapped to the first few slots only. So the discussion on processing timeline for PDSCH and PUSCH should be discussed together.  We propose to progress on the issues that need to be further discussed in relation to potential DMRS enhancements:  For potential DMRS enhancements for multi-slot PDSCH/PUSCH scheduling, consider the following issues:   * Available processing timeline and HARQ feedback delay if DMRS is mapped to every slot of a multi-slot PDSCH/PUSCH allocation vs. if DMRS is mapped only to a limited set of slots from the start of the allocation * Availability of joint channel estimation over DMRS across multiple slots * Need to improve channel estimation quality if DMRS is not mapped to every slot |
| InterDigital | We don’t support DMRS overhead reduction as performance benefits are not identified. |
| vivo | Seems no strong motivation to do this in this release |
| Lenovo, Motorola Mobility | In our view, similar DMRS enhancements are already considered in other work item such as Coverage Enhancements. So not necessary to discuss them here, but open to it. |
|  |  |
| Moderator | Companies have different views on this. Formulated some FFS points below. |

##### Proposal 4-3 for discussion:

Further study on at least the following aspects of potential DMRS enhancement for multi-slot PDSCH/PUSCH scheduling:

* The need of potential DMRS enhancement
* DMRS overhead reduction
* DMRS bundling

Companies are encouraged to provide comments if any.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
| Spreadtrum | We are fine with the proposal. |
|  |  |
|  |  |

#### Other issue(s)

Please provide comments if any on any missed issue(s) about DMRS.

|  |  |
| --- | --- |
| Company Name | Comments/Views |
|  |  |
|  |  |
|  |  |

# Conclusion

TBD

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