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

**e-Meeting, Jan. 25th – Feb. 5th, 2021**

**Source: Moderator (ZTE)**

Title: FL summary #4 on SRS enhancements

Agenda Item: 8.1.3

Document for: Discussion and Decision

# Introduction

In RAN#86, the Rel-17 WID of further enhancements on MIMO for NR is approved [1]. In the approved WID, a particular point is about SRS enhancements in terms of flexibility, coverage and capacity, targeting both FR1 and FR2. The detailed scope of the SRS enhancement is given as follows.

*3. Enhancement on SRS, targeting both FR1 and FR2:*

* 1. *Identify and specify enhancements on aperiodic SRS triggering to facilitate more flexible triggering and/or DCI overhead/usage reduction*
	2. *Specify SRS switching for up to 8 antennas (e.g., xTyR, x = {1, 2, 4} and y = {6, 8})*
	3. *Evaluate and, if needed, specify the following mechanism(s) to enhance SRS capacity and/or coverage: SRS time bundling, increased SRS repetition, partial sounding across frequency*

Previous RAN1 agreements on these SRS enhancements are given in Section 6.1.

In this contribution, we summarize companies’ views on the above SRS enhancements submitted to RAN1#103e [2]-[25].

# Flexibility enhancements

## SRS triggering offset

### 2.1.1. Reference slot definition

**Table 2-1**

|  |  |
| --- | --- |
| Opt. 1 | Reference slot is the slot with the triggering DCI |
| Opt. 2 | Reference slot is the slot indicated by the legacy triggering offset |

***FL Proposal 2-1:*** *For reference slot definition, support Opt 2 (Reference slot is the slot indicated by the legacy triggering offset).*

Supported by NEC, CMCC, Xiaomi, Qualcomm, Ericsson, Sharp, InterDigital, CATT, vivo, MediaTek, Intel, Lenovo, MotM, Samsung.

Concern: LG, OPPO, Huawei, HiSilicon, Spreadtrum. (Support Opt. 1 instead)

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | Not support.During the previous discussion, some companies think Option 2 offers more flexibility than Option 1. According the agreement of GTW session, a list of t values is configured in RRC for each SRS resource set. Let assume that for option 2, Rel-15 RRC configured offset set is T0, and the a list of t values is {t0, t1, .. }. If a list of t values { N0+t0, N0+t1, …} is configured for option 1, then option 1 will achieve the same purpose of option 2. In summary, we don’t see any additional flexibility of option 2 compared to option 1. In contrast, Option 2 will lead to more UE complexity since option 2 requires more procedures to achieve the same purpose.Option 2 needs four steps: a. determine the RRC-configured offset, b. determine the additional offset indicated by DCI, c. calculate the total offset (RRC-configured offset + additional offset), d. determine the occasion for real transmission. Option 1 needs only two steps: a’. determine the offset indicated by DCI,b’. determine the occasion for real transmission. |
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|  |  |

## Flexible antenna switching

***FL Proposal 2-9:*** *Study L1 or L2 based adaptation on the number of Tx and/or Rx antennas for SRS antenna switching based on the indicated UE capability of supported SRS-TxPortSwitch*

* *Consider this adaption is applicable to which type(s) of SRS ( aperiodic SRS, periodic SRS, or semi-persistent SRS)*
* *Consider use cases like UE power saving, NW overhead saving, multi-panel UEs, etc.*
	+ *Motivations/target use cases should be clarified before moving forward to detailed designs*
* *FFS via MAC CE or DCI*
* *FFS whether to consider dynamic DL MIMO layer adaptation together*
* *FFS UE reporting of the preferred Tx/Rx antenna number*
* *FFS potential enhancements on CSI measurement to solve issues (if any) caused by this dynamic adaption*

Supported by Spreadtrum, Lenovo, MotM, Nokia, NSB, Intel, Ericsson, Xiaomi, InterDigital, Qualcomm, ZTE

Concern: vivo

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | We still failed to see the use cases and benefits. Could the proponents elaborate a bit on the use cases and benefits? Moreover, we have a couple of questions for clarification1. The 2nd bullet: If power saving is the design target, we prefer to discus it in power saving session where companies can have a whole picture which mechanism(s) are most useful for power saving
2. The 2nd bullet: what’s the relationship between antenna switching and multiple panels? Why do we need some specific antenna switching design for multi-panel UEs?
3. The 4th bullet: DL MIMO layer is indicated by NW. In Rel-15, NW has the flexibility to dynamically change the DL MIMO layers for transmission. Moreover, NR supports UE assistance information where UE can report the preferred DL/UL MIMO layers. What’s the spec impact of this bullet?
4. The 5th bullet: What is “*UE reporting*” referring to here? UE capability or something else? The Rx/Tx antenna number seems related to the MIMO layers that can be recommend via UE assistance information .
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|   |  |
|  |  |

# Antenna switching up to 8Rx

## Whether 4T6R is supported

***FL Proposal 3-2:*** *Support antenna switching SRS with 4T6R in NR Rel-17*

Supported by OPPO, Spreadtrum, Lenovo, MotM, Nokia, NSB, NEC, Intel, Xiaomi, InterDigital, Qualcomm, NTT DOCOMO, CMCC

Concern: Futurewei, vivo, Huawei, HiSilicon, Ericsson. (Deprioritized or not support)

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | Ok with the proposal |
|  |  |
|  |  |

# Conclusion

# Appendix

## Previous agreements

**Table 6-1**

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| --- |
| **RAN1#102e****Agreement**Enhance the determination of aperiodic SRS triggering offset, with at least one of the following alternatives* + Alt 1: Delay the SRS transmission to an available slot later than the triggering offset defined in current specification, including possible re-definition of the triggering offset
	+ Alt 2: Indicate triggering offset in DCI explicitly or implicitly
	+ Alt 3: Update triggering offset in MAC CE
	+ Further consideration aspects may include the cost v.s. the total combinations PDCCH and SRS locations for gNB to choose, DCI overhead, multi-UE SRS multiplexing, CA aspect, whether to have multiple opportunities to transmit SRS, etc.

**Agreement**Study the following two alternatives in the scope to enhance at least one DCI format for aperiodic SRS triggering * + Alt 1: Use UE-specific DCI, e.g., extending DCI 0\_1 without uplink data and without CSI
	+ Alt 2: Use group-common DCI, e.g., extending DCI 2\_3 for cases other than carrier switching
	+ Further consideration aspects may include simultaneous or CC-specific SRS triggering for multiple CCs, dynamic indication of SRS frequency resources, etc..

**Agreement**For SRS overhead reduction, study reusing same resources among multiple usages, at least for “codebook” and “antenna switching”. Study aspects include* + Whether implementation approach based on legacy SRS configuration is sufficient
		- If not, and if there are benefits other than RRC overhead reduction, study further on the case that antenna switching and PUSCH have different number of Tx antennas, whether UL BWP for different SRS usages is the same or different, whether and how to ensure UE to use same virtualization, the set of applicable usages, UE implementation complexity and overhead, etc..

**Agreement**For SRS antenna switching up to 8Rx, study the configuration of {1T6R, 1T8R, 2T6R, 2T8R, 4T6R, 4T8R}.* + Study points may include CSI latency, performance considering aspects like insertion loss, use cases, antenna structure, UE power saving, SRS resource configuration, etc..

**Agreement**For SRS coverage/capacity enhancements, evaluate and, if needed, specify one or more from three categories based on the following definition. * + Class 1 (Time bundling): Utilize relationship among two or more occasions of one or more SRS resources in one or more slots to enable joint processing within time domain.
		- Study aspects include the issue of phase discontinuity, interruption of SRS transmission by other UL signals, etc..
	+ Class 2 (Increase repetition): Change the legacy SRS pattern in one resource and one occasion from time domain by increasing SRS symbols for repetition.
		- Study aspects include to use TD-OCC to compensate the negative impact on SRS capacity, inter-cell interference randomization, whether these SRS symbols are in one slot or consecutive slots, etc..
	+ Class 3 (Partial frequency sounding): Support more flexibility on SRS frequency resources to allow SRS transmission on partial frequency resources within the legacy SRS frequency resources.
		- Study aspects include the partial frequency resources are with RB level or subcarrier level (e.g., larger comb, partial bandwidth), PAPR issue, etc..

**RAN1#103e****Agreement**A given aperiodic SRS resource set is transmitted in the (t+1)-th available slot counting from a reference slot, where t is indicated from DCI, or RRC (if only one value of t is configured in RRC), and the candidate values of t at least include 0. Adopt at least one of the following options for the reference slot.* Opt. 1: Reference slot is the slot with the triggering DCI.
* Opt. 2: Reference slot is the slot indicated by the legacy triggering offset.
* FFS the detailed definition of “available slot” considering UE processing complexity and timeline to determine available slot, potential co-existence with collision handling, etc., e.g.,
	+ Based on only RRC configuration, “available slot” is the slot satisfying: there are UL or flexible symbol(s) for the time-domain location(s) for all the SRS resources in the resource set and it satisfies the minimum timing requirement between triggering PDCCH and all the SRS resources in the resource set
* FFS explicit or implicit indication of t
* FFS whether updating candidate triggering offsets in MAC CE may be beneficial

**Agreement**Support at least DCI 0\_1 and 0\_2 to trigger aperiodic SRS without data and without CSI.* FFS whether/how to re-purpose the unused fields, e.g., the triggering offset(s) and the frequency resources for triggering A-SRS on one or more component carriers, SFI-index, etc.
* FFS UL/DL DCI with data for aperiodic SRS
* FFS group common DCI

**Agreement**In Rel-17 SRS coverage and capacity enhancement, support at least one scheme from Class 2 and Class 3, and deprioritize Class 1.* Note: Extensions of Rel-15/16 frequency hopping are included in Classes 2 and 3, e.g. where UE hops once per symbol within a Rel-17 SRS resource.

**Agreement**Candidate schemes for Class 2:* Scheme 2-0: Increase the number of repetition symbols in one slot
* Scheme 2-1: Inter-slot repetition on consecutive symbols or non-consecutive symbols across slots
* Scheme 2-2: Repetition with TD-OCC
* Scheme 2-3: Repetition with CS hopping

Candidate schemes for Class 3:* Scheme 3-1: RB-level partial frequency sounding
* Scheme 3-2: Subcarrier-level partial frequency sounding
* Scheme 3-3: Subband-level partial frequency sounding
* Scheme 3-4: Partial-frequency sounding schemes assisted with CSI-RS, where SRS is transmitted in a subset of RBs of the original SRS frequency resource
* Scheme 3-5: Dynamic change of SRS bandwidth with RB-level subband size scaling
* Note: Consider issues like gNB receiver complexity, PAPR, etc., with above schemes
* Note: Joint operation between Class 2 and Class 3 schemes can be considered

**Agreement**For antenna switching up to 8Rx, support SRS resource configurations for {1T6R, 1T8R, 2T6R, 2T8R, [4T6R], 4T8R}. |

# References

1. RP-193133, New WID: Further enhancements on MIMO for NR, Samsung
2. R1-2100042, Enhancements on SRS flexibility, coverage and capacity, FUTUREWEI
3. R1-2100068 , Flexible SRS Transmission and Antenna Switching, InterDigital, Inc.
4. R1-2100123, Enhancements on SRS flexibility, coverage and capacity, OPPO
5. R1-2100213 , Enhancements on SRS for Rel-17, Huawei, HiSilicon
6. R1-2100277, Enhancements on SRS, Lenovo, Motorola Mobility
7. R1-2100290, Enhancements on SRS flexibility, coverage and capacity, ZTE
8. R1-2100348, Discussion on SRS enhancement for Rel-17 , CATT
9. R1-2100426, Further discussion on SRS enhancement, vivo
10. R1-2100590 , Enhancements on SRS flexibility, coverage and capacity, MediaTek Inc.
11. R1-2100623 , Enhancements on SRS flexibility, coverage and capacity, LG Electronics
12. R1-2100641 , Discussion on SRS enhancements, Intel Corporation
13. R1-2100788, Considerations on SRS enhancement, Spreadtrum Communications
14. R1-2100849 , Considerations on SRS flexibility, coverage and capacity, Sony
15. R1-2100953, Discussion on SRS enhancement, NEC
16. R1-2101010, Enhancements on SRS flexibility, coverage and capacity, Nokia, Nokia Shanghai Bell
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18. R1-2101096 , Discussion on SRS enhancements, Xiaomi
19. R1-2101191, Enhancements on SRS, Samsung
20. R1-2101355 , Views on Rel-17 SRS enhancement, Apple
21. R1-2101451 , Enhancements on SRS flexibility, coverage and capacity, Qualcomm Incorporated
22. R1-2101519 , SRS Performance and Potential Enhancements, Ericsson
23. R1-2101538, Enhancements on SRS flexibility, coverage and capacity, Sharp
24. R1-2101602, Discussion on SRS enhancement, NTT DOCOMO, INC.
25. R1-2101684 , Enhancements on SRS for coverage and capacity, Fraunhofer IIS, Fraunhofer HHI