3GPP TSG RAN WG1 #107-e R1-2110687

**e-Meeting, November 11th – 19th, 2021**

**Agenda item: 5.1**

**Source: WI rapporteur (China Telecom)**

**Title: RAN1 agreements for Rel-17 Tx switching**

**Document for: Information**

# Introduction

In RAN #89 e-meeting, a new Rel-17 WID of “RF requirements enhancement for NR frequency range 1 (FR1)” [1] was approved and was revised in RAN #91 e-meeting [2], including following objectives.

* Specify UE requirements to enable Tx switching between different cases across carriers based on SUL and NR inter-band uplink CA for UE supporting maximum two concurrent transmissions
  + Specify UE requirements to enable Tx switching between cases
    - The scenarios include
      * For Tx switching based on SUL band combination, or uplink CA band combination

|  |  |
| --- | --- |
|  | **Number of Tx chains in WID (carrier 1 + carrier 2)** |
| Case 2 | 0T+2T |
| Case 3 | 2T+0T |

* + - * For Tx switching based on uplink CA band combination

|  |  |
| --- | --- |
|  | **Number of Tx chains in WID (carrier 1 + carrier 2)** |
| Case 1 | 1T+1T |
| Case 2 | 0T+2T |
| Case 3 | 2T+0T |

* + - Specify the following RAN4 requirements for above scenarios
      * Length of switching period
      * Time mask RF requirements
      * Uplink interruption and downlink interruption (RRM) requirements, if needed
    - Minimize the impacts on RAN1
      * Update RAN1 uplink switching for carrier aggregation and supplementary uplink
    - Minimize the impacts on RAN2
      * Update the RRC signaling to indicate the switching period location and length
      * Update the UE capabilities
  + Specify UE requirements to enable Tx switching between cases, where 1 carrier on band A and 2 contiguous aggregated carriers on band B, and band A is for SUL or non-SUL and band B is a non-SUL band
    - The scenarios include
      * For Tx switching based on SUL band combination, or uplink CA band combination

|  |  |
| --- | --- |
|  | **Number of Tx chains in WID (band A + band B)** |
| Case 1 | 1T+1T |
| Case 2 | 0T+2T |

and

|  |  |
| --- | --- |
|  | **Number of Tx chains in WID (band A + band B)** |
| Case 2 | 0T+2T |
| Case 3 | 2T+0T |

* + - * For Tx switching based on uplink CA band combination

|  |  |
| --- | --- |
|  | **Number of Tx chains in WID (band A + band B)** |
| Case 1 | 1T+1T |
| Case 2 | 0T+2T |
| Case 3 | 2T+0T |

* + - Specify the following RAN4 requirements for above scenarios
      * Length of switching period
      * Time mask RF requirements
      * Uplink interruption and downlink interruption (RRM) requirements, if needed
    - Minimize the impacts on RAN1
      * Update RAN1 uplink switching for carrier aggregation and supplementary uplink
    - Minimize the impacts on RAN2
      * Update the RRC signaling to indicate the switching period location and length
      * Update the UE capabilities

Note 1: Only addressing the case of co-located and synchronized network deployment for the two UL carriers.

Note 2: Only addressing the case of single TAG for the two UL carriers for SUL and for UL CA.

Note 3: The UE is configured with two different uplink carrier frequencies.

This contribution is a summary of RAN1 agreements till RAN1 #107-e.

# RAN1#104b-e

**Agreements:**

* **For Rel-17 2Tx-2Tx switching between two uplink carriers, the mapping between UL transmission ports and Tx chain for SUL and UL CA Option 1 is defined as follows.**

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (carrier 1 + carrier 2) | Number of **antenna ports** for UL transmission (carrier 1 + carrier 2) |
| Case 2 | 0T+2T | 0P+2P, 0P+1P |
| Case 3 | 2T+0T | 2P+0P, 1P+0P |

**Agreements:**

* **For Rel-17 2Tx-2Tx switching between two uplink carriers, the mapping between UL transmission ports and Tx chain for UL CA Option 2 is defined as follows.**

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (carrier 1 + carrier 2) | Number of **antenna ports** for UL transmission (carrier 1 + carrier 2) |
| Case 1 | 1T+1T | 1P+0P, 1P+1P, 0P+1P |
| Case 2 | 0T+2T | 0P+2P, 0P+1P |
| Case 3 | 2T+0T | 2P+0P, 1P+0P |

**Conclusion:**

* For uplink Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B,
  + If the state of Tx chains is 1Tx on Band A and 1Tx on Band B, 1Tx is available simultaneously on both uplink carriers on band B for a UE.
  + If the state of Tx chains is 0Tx on Band A and 2Tx on Band B, 2Tx are available simultaneously on both uplink carriers on band B for a UE.

**Agreement:**

* Send LS to RAN4 asking following question:
  + Question: For UL Tx switching in a band pair of a band combination, whether or not the switching time reported by a UE for 2Tx-2Tx switching can be different from that reported by the UE for 1Tx-2Tx switching.

**Agreement:**

For Rel-17 1Tx-2Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B, the mapping between UL transmission ports and Tx chain for SUL and UL CA Option 1 is defined as follows.

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (band A + band B) | Number of **antenna ports** for UL transmission (band A (carrier 1) + band B (carrier 2 + carrier 3)) |
| Case 1 | 1T+1T | 1P+(0P+0P) |
| Case 2 | 0T+2T | 0P+(2P+0P), 0P+(0P+2P), 0P+(2P+2P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P), 0P+(1P+2P), 0P+(2P+1P) |

**Agreement:**

For Rel-17 2Tx-2Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B, the mapping between UL transmission ports and Tx chain for SUL and UL CA Option 1 is defined as follows.

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (band A + band B) | Number of **antenna ports** for UL transmission (band A (carrier 1) + band B (carrier 2 + carrier 3)) |
| Case 2 | 0T+2T | 0P+(2P+0P), 0P+(0P+2P), 0P+(2P+2P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P), 0P+(1P+2P), 0P+(2P+1P) |
| Case 3 | 2T+0T | 2P+(0P+0P), 1P+(0P+0P) |

**Agreement:**

For Rel-17 1Tx-2Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B, the mapping between UL transmission ports and Tx chain for UL CA Option 2 is defined as follows.

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (band A + band B) | Number of **antenna ports** for UL transmission (band A (carrier 1) + band B (carrier 2 + carrier 3)) |
| Case 1 | 1T+1T | 1P+(0P+0P), 1P+(1P+0P), 1P+(0P+1P), 1P+(1P+1P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P) |
| Case 2 | 0T+2T | 0P+(2P+0P), 0P+(0P+2P), 0P+(2P+2P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P), 0P+(1P+2P), 0P+(2P+1P) |

**Agreement:**

For Rel-17 2Tx-2Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B, the mapping between UL transmission ports and Tx chain for UL CA Option 2 is defined as follows.

|  |  |  |
| --- | --- | --- |
|  | Number of **Tx chains** in WID (band A + band B) | Number of **antenna ports** for UL transmission (band A (carrier 1) + band B (carrier 2 + carrier 3)) |
| Case 1 | 1T+1T | 1P+(0P+0P), 1P+(1P+0P), 1P+(0P+1P), 1P+(1P+1P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P) |
| Case 2 | 0T+2T | 0P+(2P+0P), 0P+(0P+2P), 0P+(2P+2P), 0P+(1P+0P), 0P+(0P+1P), 0P+(1P+1P), 0P+(1P+2P), 0P+(2P+1P) |
| Case 3 | 2T+0T | 2P+(0P+0P), 1P+(0P+0P) |

**Conclusion:**

* For uplink Tx switching between 1 carrier on Band A and 2 contiguous carriers on Band B, whether Tx switching between 2Tx on Band A and 1Tx on Band A+1Tx on Band B for UL CA option 1 and SUL is included in WID could be clarified by RAN plenary or RAN4.

# RAN1#105-e

**Agreements:**

* For a UE configured with higher layer parameter *supplementaryUplink* and with 2Tx-2Tx UL Tx switching between two uplink carriers, the mechanism of uplink switching specified in S6.1.6.3 of TS 38.214 is reused.

**Agreements:**

* For a UE configured with UL CA Option 1 and with 2Tx-2Tx UL Tx switching between two uplink carriers, the mechanism of uplink switching specified in S6.1.6.2 of TS 38.214 is reused with the following add-on.
* When the UE is to transmit a 2-port transmission on one uplink carrier and if the preceding uplink transmission is a 2-port transmission on another uplink carrier, then the UE is not expected to transmit for the duration of NTx1-Tx2 on any of the two carriers.

**Agreements:**

* For inter-band UL CA, if 2Tx-2Tx UL Tx switching between two uplink carriers is configured:
* For option 2 of mapping between UL transmission ports and Tx chain
  + The switching period is only applicable in the following cases:
    - If the current state of Tx chains is 1Tx on carrier 1 and 1Tx on carrier 2, the next UL transmission has a 2-port transmission on either carrier 1 or carrier 2.
    - If the current state of Tx chains is 0Tx on carrier 1 and 2Tx on carrier 2, the next UL transmission has a 1-port or 2-port transmission on carrier 1.
    - If the current state of Tx chains is 2Tx on carrier 1 and 0Tx on carrier 2, the next UL transmission has a 1-port or 2-port transmission on carrier 2.
  + For other cases, the state of Tx chains of last UL transmission is assumed.
* Note: For SUL, UL CA option 1 and UL CA option 2, in RAN1 understanding, no spec change to power configuration and power control.

**Agreement:**

* For a UE configured with 2Tx-2Tx UL Tx switching between two uplink carriers and configured with UL CA Option 2, if the state of Tx chains after UL Tx switching is not unique, a rule to determine the state of Tx chains after Tx switching is to be specified.
  + FFS: The state of Tx chains with the most of Tx chains on the most important uplink carrier is assumed, e.g. the carrier with *uplinkTxSwitchingPeriodLocation* configured as false.

# RAN1#106-e

**Agreements:**

* **For SUL and UL CA option 1, if 1Tx-2Tx UL Tx switching or 2Tx-2Tx UL Tx switching between 1 carrier on band A and 2 carriers on band B is configured, the switching period is only applicable when the UL transmissions are switched between band A and band B.**

**Agreements:**

* **For inter-band UL CA, if 1Tx-2Tx UL Tx switching between 1 carrier on band A and 2 carriers on band B is configured is configured:**
* **For option 2 of mapping between UL transmission ports and Tx chain**
  + **The switching period is only applicable in the following cases:**
    - **If the current state of Tx chains is 1 Tx on band A and 1Tx on band B, the next UL transmission has a 2-port transmission on at least one carrier on band B.**
    - **If the current state of Tx chains is 0 Tx on band A and 2Tx on band B, the next UL transmission has a 1-port transmission on the carrier on band A.**
  + **For other cases, the state of Tx chains of last UL transmission is assumed.**

**Agreements:**

* **For inter-band UL CA, if 2Tx-2Tx UL Tx switching between 1 carrier on band A and 2 carriers on band B is configured:**
* **For option 2 of mapping between UL transmission ports and Tx chain**
  + **The switching period is only applicable in the following cases:**
    - **If the current state of Tx chains is 1Tx on band A and 1Tx on band B, the next UL transmission has a 2-port transmission on the carrier on band A or at least one carrier on band B.**
    - **If the current state of Tx chains is 0Tx on band A and 2Tx on band B, the next UL transmission has a 1-port or 2-port transmission on the carrier on band A.**
    - **If the current state of Tx chains is 2Tx on band A and 0Tx on band B, the next UL transmission has a 1-port or 2-port transmission on at least one carrier on band B.**
  + **For other cases, the state of Tx chains of last UL transmission is assumed.**

**Agreements: Down select one of the following options in RAN1#106b-e:**

* **Option 1:** For UL-CA Option2, if UL Tx switching is triggered for 1-port transmission on a carrier and the state of Tx chains after the UL Tx switching is not unique, then
  + 1Tx on carrier 1 and 1Tx on carrier 2 is assumed if the carrier is configured with *uplinkTxSwitchingPeriodLocation* as true.
  + the state of Tx chains supporting 2Tx transmission is assumed on the carrier if the carrier is configured with *uplinkTxSwitchingPeriodLocation* as false.
* **Option 2:** For UL-CA Option2, if UL Tx switching is triggered for 1-port transmission on a carrier and the state of Tx chains after the UL Tx switching is not unique, then the state of Tx chains supporting 2Tx transmission on the carrier is assumed.
* **Option 3:** For UL-CA Option2, if UL Tx switching is triggered for 1-port transmission on a carrier and the state of Tx chains after the UL Tx switching is not unique, then 1Tx on carrier 1 and 1Tx on carrier 2 is assumed.

**Agreements: Down select one of the following options in RAN1 #106bis-e**

**Option 1:**

* **For a UE configured with UL Tx switching via *uplinkTxSwitching*, the maximum number of antenna ports among all configured P-SRS/A-SRS and activated SP-SRS resources is used to determine the operation mode, i.e. either 1Tx-2Tx switching mode or 2Tx-2Tx switching mode.**
* **2Tx-2Tx switching mode: when the maximum number is 2 for all uplinks configured with *uplinkTxSwitching***
* **1Tx-2Tx switching mode: when the maximum number is 1 for any one uplink configured with *uplinkTxSwitching***
* **the switching gap duration for a triggered uplink switching is equal to the switching time capability value reported for the switching mode**
  + **Note: If the switching time capability value for 1Tx-2Tx switching mode is not reported by the UE, the value reported for 2Tx-2Tx switching mode is applied.**
* **If any of the above SRS resources is configured with usage “noncodebook”, then the max number of 2 antenna ports are counted for the SRS resources during the determination of operation mode.**
  + **FFS how to determine the number of antenna ports for SRS resources.**

**Option 2:**

* **For a UE configured with UL Tx switching via *uplinkTxSwitching*, a new RRC parameter is used to indicate 1Tx-2Tx switching mode or 2Tx-2Tx switching mode.**

# RAN1#106b-e

**Agreement:**

* For UL-CA Option2, if UL Tx switching is triggered for 1-port transmission on a carrier and the state of Tx chains after the UL Tx switching is not unique, introduce a new RRC parameter to configure between 1) and 2)
  + 1) The state of Tx chains supporting 2Tx transmission on the carrier is assumed.
  + 2) 1Tx on carrier 1 and 1Tx on carrier 2 is assumed.

# RAN1#107-e

**Conclusion:**

* For Rel-17 Tx switching between Band A and Band B, no additional specification impact to support 1-port transmission via DCI format 0\_1 for UL CA option 2.

**Agreement:**

* For a UE capable of 2Tx-2Tx switching and configured with UL Tx switching via *uplinkTxSwitching*, to differentiate the switching delay for 1Tx-2Tx switching from that for 2Tx-2Tx switching, a new RRC parameter is used to indicate 1Tx-2Tx switching mode or 2Tx-2Tx switching mode.
* If 1Tx-2Tx mode is derived by the new RRC parameter, then there is on one uplink (or one uplink band in case of intra-band) configured with *uplinkTxSwitching*, on which the maximum number of antenna ports among all configured P-SRS/A-SRS and activated SP-SRS resources should be 1 and non-codebook based UL MIMO is not configured. RAN1 assume the uplink is configured with RRC parameter “carrier1” by RAN2*.*
* The default value of the new RRC parameter is 1Tx-2Tx switching mode.
* In a configured switching mode, the switching gap duration for a triggered uplink switching is equal to the switching time capability value reported for the switching mode.
* Note: This RRC parameter doesn’t imply any restriction on application of non-codebook transmission together with UL Tx switching.

# References

1. RP-202088, New WID proposal: RF requirements enhancement for NR frequency range 1 (FR1) in Rel-17, Huawei, HiSilicon, China Telecom, RAN #89e, Sep. 2020.
2. RP-210899, Revised WID: RF requirements enhancement for NR frequency range 1 (FR1), Huawei, HiSilicon, RAN #91e, Mar. 2021.