3GPP TSG RAN WG1 Meeting #107-e R1-2112589

**e-Meeting, Nov. 11th – 19th, 2021**

**Source: Moderator (ZTE)**

Title: FL summary #2 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 second-round email discussion in RAN1#107-e.

# Flexibility enhancements

## SRS triggering offset

### 2.1.1. Collision handling

One FFS point from RAN1#104e’s agreement on available slot definition is “rules to handle the case of multiple SRS resource sets with overlapping symbols and/or triggered by a same DCI”. Companies’ detailed views are given in the table below.

Table 2-1

|  |  |  |
| --- | --- | --- |
| **Collision handling** | | |
| Views | Companies | Priority rules |
| Introduce dropping rule when collision happens among aperiodic SRS resource sets | Intel, Xiaomi (UE optional), CMCC, Apple (UE optional), Nokia/NSB, Qualcomm, ZTE, Huawei/HiSilicon, Futurewei, Lenovo/MotM, Ericsson, vivo, Spreadtrum, CATT | * Rule 1 – Based on usage: Intel, CMCC, Nokia/NSB, Qualcomm, ZTE, Ericsson, vivo * Rule 2 – Based on set ID and CC ID: Intel, CMCC, ZTE, Huawei/HiSilicon, Ericsson, vivo, Spreadtrum, CATT * Rule 3 – Based on order of the triggering DCI: Lenovo/MotM, vivo * Rule 4 – Based on type of the aperiodic SRS and the UL channel/signaling: Futurewei |
| Do not introduce new dropping rule | Samsung, OPPO, LG |  |

The majority of companies are positive to have dropping rule defined to handle this collision. Among all the proposed rules, the first two rules (usage and CC ID/set ID) attract the majority view. Based on majority view, the following proposal is recommended by FL.

***FL Proposal 2-1:*** *Introduce dropping rule when collision happens among multiple aperiodic SRS resource sets in a same CC or different CCs.*

* *Adopt the following priority rules (with priority level from high to low)*
  + *Usage > CC ID > Set ID*
    - *For usages, priority order is AS > CB > NCB > BM*
    - *For CC ID/set ID, lower ID has higher priority than higher ID*
* *The new dropping rule is a UE optional feature*
  + *UE will take collision as error case if UE does not support this feature*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | The proposal is updated based on the comments from Ericsson, Apple and VDF in the first round. Companies are encouraged to further check and share your views. |
| OPPO | No support since it is overkill. The benefits are not justified. |
|  |  |

## Flexible DCI format

**Re-purpose**

It seems it is hard converge on this repurpose issue. Since we have discussed this issue for long time costing a lot of meeting resources, and companies’ interest on this has cooled down, the following conclusion is recommended by FL.

***FL Proposal 2-4:*** *No consensus to support repurpose of DCI field(s) for SRS parameter indication in Rel-17.*

Supported by InterDigital, NEC, Huawei/HiSilicon, QC, Lenovo/MotM, CATT, Xiaomi, Nokia/NSB, CMCC, Xiaomi

Concerned by Futurewei, NTT DCM, Intel

Since the view from Futurewei, NTT DCM and Intel in the first round is to focus on interpretation of the TPC command and BWP indicator when SRS is triggering without data and without CSI, FL suggests to also discuss the issue in Table 2-5 here to see whether we can identify any essential issue for completing this feature.

Table 2-5

|  |  |
| --- | --- |
| **Interpretation of TPC command and BWP indicator in DCI 0\_1/0\_2 triggering SRS without data and without CSI** | |
| Views | Companies |
| * For SRS triggered by DCI format 0\_1/0\_2 without scheduling PUSCH and without CSI Request, the existing TPC command carried by the DCI is used for the triggered SRS transmission. * When SRS is triggered by DCI format 0\_1/0\_2 without scheduling PUSCH and without CSI Request, the existing BWP indicator field carried by the DCI could be used to switch the BWP for the triggered aperiodic SRS transmission. | Intel, Futurewei, NTT DCM |
| No need for discussion | Samsung, Huawei/HiSilicon, Qualcomm, Nokia/NSB, CMCC, CATT, OPPO |

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Companies are suggested to share your views on FL proposal 2-4 and the issue in Table 2-5, esp. about whether you think the issue in Table 2-5 is essential. |
| OPPO | Support FL proposal 2-4  No need to discuss the proposal in Table 2-5 |
|  |  |

**Group-common DCI**

After first round discussion, the proponents want to focus on the enhancement to applying Rel-17 triggering offset enhancement to SRS triggered by GC DCI (format 2\_3). Hence FL suggests to focus on this to check whether companies think it is essential to Rel-17.

Table 2-4

|  |  |
| --- | --- |
| **Whether the Rel-17 available slot offset enhancement is also applied on SRS triggered by GC DCI** | |
| Alternatives | Companies |
| Yes (Rel-17 available slot offset enhancement applies for SRS triggered by GC DCI) | Qualcomm, Futurewei, Intel |
| No (Rel-17 available slot offset enhancement does not applied for SRS triggered by GC DCI) | LG, Huawei/HiSilicon, CATT |

***FL Proposal 2-5:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Companies are encouraged to share your view on the above issue, including whether you think it is essential to Rel-17. |
| OPPO | Different UEs may be configured with different slot format. Thus, we doubt the benefits. |
|  |  |

## Usage/overhead reduction

One remaining issue is whether to support specification enhancement on using SRS resources configured in SRS resource set with usage = “antennaSwitching” for codebook based UL transmission. Table 2-5 summarizes companies’ views.

Table 2-6

|  |  |
| --- | --- |
| **Whether to support specification enhancement on using SRS resources configured in SRS resource set with usage = “antennaSwitching” for codebook based UL transmission** | |
|  | Companies |
| Action 1: Add a UE capability to ensure same virtualization if SRS resource(s) for antenna switching also belong to a set for codebook | Apple, NTT DOCOMO, Ericsson |
| Action 2: Add a RRC parameter to turn on/off the UE behavior in Action 1 | Apple, NTT DOCOMO, Ericsson |
| Action 3: Clarify same virtualization is used if SRS resource(s) for antenna switching also belong to a set for codebook | NTT DOCOMO |
| None of the above actions is needed | Futurewei, Huawei/HiSilicon |

***FL proposal 2-7:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
|  |  |
|  |  |
|  |  |

## Flexible antenna switching

Multiple companies discuss the issue of indicating the number of antennas to support more flexible antenna switching in dynamic signaling. Their views are summarized in the following table.

Table 2-7

|  |  |  |
| --- | --- | --- |
| **Update Tx/Rx antennas for SRS antenna switch in dynamic signaling** | | |
| Views | Companies | Further details |
| Clarify that it changes the number of SRS ports dynamically but does not change the real number of Tx/Rx antennas | Futurewei, OPPO |  |
| Support indicating the number of Tx/Rx antennas for SRS antenna switching via MAC CE or DCI | Intel, Xiaomi, Samsung, Nokia/NSB, Qualcomm, Futurewei, Lenovo/MotM, Ericsson, vivo, Spreadtrum, CATT, OPPO | MAC CE:   * Xiaomi, Samsung, Nokia/NSB, Qualcomm, Ericsson, vivo (with new activation timing), Spreadtrum, OPPO   DCI:   * CATT, Intel |
| Support UE reporting of the preferred antenna switching configuration | Yes: Xiaomi (MAC CE), Apple  No: Intel, Futurewei |  |

The following proposal is given based on majority view.

***FL proposal 2-8:*** *Support gNB indicating the used SRS resources from the configured SRS resources in SRS resource set(s) for antenna switching via MAC CE.*

* *Support UE reporting of one preferred antenna switching configuration in MAC CE*
* *The gNB indicated or UE reported antenna switching configuration belongs to the supported antenna switching reported by UE capability signaling*
* *A new application timing of the MAC CE activation is introduced for this purpose*
* *Note1: Any change on the configured number of Tx antennas in each SRS resource is precluded in either the gNB indication or UE reporting*
* *Note2: This feature is not related to the Rx antennas for DL reception.*

Some issues to be discussed

* Whether Note1 should be kept
  + Remove: IDC
  + Not to remove: Huawei/HiSilicon
* Whether a new application timing is needed
  + Yes: vivo
  + No: Samsung, QC, CMCC, Futurewei, Lenovo/MotM, OPPO
* Whether to change MAC CE to DCI
  + Yes: Intel, CATT

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Note2 is added per OPPO and Xiaomi’s comments. Feel free to share your further views esp. on the above three issues. |
| OPPO | Note 1: Dynamic turn-on / turn-off of Tx antenna is more useful from the perspective of power consumption. However, the current proposal is not sufficient for Tx antennas adaptation. Thus, we support to keep Note 1 to avoid some potential issue on UE implementation. We expect to specify a complete solution for Tx antenna adaptation in future.  New application timing: No  Whether to change MAC CE to DCI: MAC CE  Note 2: Support |
|  |  |

## Update of the association between trigger states and resource sets

Several companies discuss the issue of using MAC CE to update the association between SRS trigger states and SRS resource sets. Companies’ views are summarized in the following table

Table 2-9

|  |  |
| --- | --- |
| **Update of the association between trigger states and resource sets** | |
|  | Companies |
| Support to update the association between SRS trigger states and SRS resource sets via MAC CE | NTT DCM, Lenovo/MotM, Ericsson, Nokia/NSB |
| Not needed | Huawei/HiSilicon, OPPO, CMCC |

***FL proposal 2-10:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Companies are encouraged to share your further views, esp. on whether this issue is essential for Rel-17 completion. |
| OPPO | No. We don’t see the benefit. |
|  |  |

## Others

The following issues are discussed by a small number of companies.

|  |  |
| --- | --- |
| The FDRA field in a DCI can apply to the triggered aperiodic SRS resource set*.* | LGE, Futurewei |
| Support single scheduling DCI to trigger simultaneous A-SRS transmission across multiple component carriers | Qualcomm |
| Support to trigger aperiodic SRS by non-scheduled DCI format 1-1 and 1-2. | vivo, LGE, Futurewei |
| Support DCI format 0\_1 and 0\_2 to trigger aperiodic SRS without data but with a non-zero "CSI request" where the associated "reportQuantity" in CSI-ReportConfig set to "none" for all CSI report(s) triggered by "CSI request" in this DCI format 0\_1 or 0\_2. | CATT, Futurewei |

Companies’ further views on the above issues are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | This part is kept in case we miss anything essential for Rel-17 completion. |
|  |  |
|  |  |

# Antenna switching up to 8Rx

## Guard period

**Presence of GP**

Companies discuss possible enhancements on the presence of guard symbols for antenna switching SRS. The proposed alternatives and companies’ positions until the first round are summarized as follows.

Table 3-1

|  |  |
| --- | --- |
| **Presence of guard symbols** | |
| Alternatives | Companies |
| Alt 1-0: Guard symbols are always-on, which is same as Rel-15 | Intel, Xiaomi, Qualcomm, Huawei/HiSilicon, OPPO, MediaTek |
| Alt 1-1: Guard symbols are configurable subject to UE capability | Nokia/NSB, ZTE, CMCC, Samsung, NTT DCM, vivo, CATT, LG, Ericsson, InterDigital |

***FL Proposal 3-1:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | Support Alt 1-0 which is aligned with RAN4 LS. Without new input from RAN4, RAN1 should stick to the existing design. |
|  |  |
|  |  |

**Remaining issue of inter-set GP**

One FFS point for inter-set GP is how/whether to handle the case where the interval between SRS resource sets is larger than Y.

Table 3-2

|  |  |
| --- | --- |
| **How/whether to handle the case where the interval between SRS resource sets is larger than Y** | |
| Alternatives | Companies |
| Alt 1: UL/DL signals are allowed to be transmitted in the interval between SRS resource sets for antenna switching when the interval is larger than Y symbols, i.e., no scheduling restriction | Huawei/HiSilicon, NTT DOCOMO |
| Alt 2: If the interval between two SRS resource sets for antenna switching is larger than Y symbols, the position of guard period for scheduling restriction is the last Y symbols of the interval. | CATT |
| Alt 3: If the interval between two SRS resource sets for antenna switching is larger than Y symbols, the position of guard period for scheduling restriction is the first Y symbols of the interval | OPPO |
| No need to handle this case | [Qualcomm], [Intel] |

***FL Proposal 3-2 (conclusion):*** *If the interval between SRS resource sets is larger than Y, there is no scheduling restriction.*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | To avoid mis-understanding, FL would like to check whether the proposed conclusion from HW in the first round is okay to companies.  @Qualcomm, @Intel, when you said there is no need to handle this case, do you mean all the symbols (which is larger than Y) in the interval is used for scheduling restriction, or there is no scheduling restriction in the interval as the conclusion says. |
| OPPO | We are ok to not handle this case, but not support the conclusion, since it will have some impact on RAN4 requirement. |
|  |  |

## 4T6R configurations

The situation of this issue is summarized as following.

***FL Proposal 3-3A:*** *For 4T6R configuration, support two SRS resources with 4 ports in one resource and 2 ports in another resource.*

* *The two resources are distributed in 1 or 2 sets for aperiodic SRS*

Supported by Intel, Xiaomi, CMCC (2nd), NEC, Samsung, NTT DCM, Qualcomm, ZTE, CATT, OPPO, LG, Apple

Other alternatives:

|  |  |
| --- | --- |
| Alt 2-1: 2 + 2 + 2   * No guard symbols exist between the 1st and the 2nd transmission. Y guard symbol(s) exist between 2nd and 3rd transmission, where Y is same as the value defined in the current specification for different SCSs | vivo |
| Alt 2-2: 2+2+2   * For SCS=15, 30 and 60KHz: No guard symbols exist * For SCS=120 KHz: No guard symbols exist between the 1st and the 2nd transmission, and 1 guard symbol exists between the 2nd and 3rd transmission | CMCC (1st), Nokia/NSB, InterDigital, Huawei/HiSilicon, Ericsson, Spreadtrum |

Given the above situation, FL suggests the following compromised proposal to move forward.

***FL Proposal 3-3B:*** *On SRS configuration for 4T6R, gNB can configure one of the following two configurations to UE subject to UE’s capability*

* *Alt 1: 4+2*
  + *The two resources are distributed in 1 or 2 sets for aperiodic SRS*
* *Alt 2: 2+2+2,* 
  + *For SCS=15, 30 and 60KHz: No guard symbols exist*
  + *For SCS=120 KHz: No guard symbols exist between the 1st and the 2nd transmission, and 1 guard symbol exists between the 2nd and 3rd transmission*
  + *The three resources are contained in 1 set for aperiodic SRS*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Companies are encouraged to share your view on FL proposal 3-3B. |
| OPPO | Not support Alt.2 due to the concern on the guard period.  One more question for Alt.2: How to differentiate Alt.2 and 2T6R? |
|  |  |

## Insertion loss compensation

Some companies discussed possible enhancements to compensate the insertion loss cause by antenna switching, especially when the number of switches is large. Companies’ views are summarized as follows.

Table 3-4

|  |  |
| --- | --- |
| **Insertion loss compensation** | |
| Views | Companies |
| Support UE capability reporting of power offset across antenna ports in different SRS resources for insertion loss compensation in DL CSI acquisition | Qualcomm, InterDigital |
| Ericsson proposes to enhance this from a different angle: Support to report ∆TRxSRS = 0 dB as a UE capability (in RAN4) | Ericsson |
| Not needed | Huawei/HiSilicon, OPPO, CMCC |

***FL Proposal 3-4:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | Companies are suggested to share your further views esp. on whether you think it is essential for Rel-17 completion. |
| OPPO | It is RAN4 issue |
|  |  |

## Others

The following issues are discussed by one or two companies.

|  |  |
| --- | --- |
| A 6Rx can report a capability of two, four or six layers of maximum number of DL MMO layers. And 8Rx UE can report a capability of two, four, six or eight layers of maximum number of DL MMO layer. | Qualcomm |
| Consider multi-panel Ues for antenna switching. | Vivo |
| For antenna switching across multiple slots, restrict that the slots are contiguous or within a given period | LG |
| Support antenna switching configuration for mTRP   * Two periodic/semi-persistent SRS resource sets for antenna switching in multi-TRP * The number of aperiodic SRS resource sets in single TRP is K, then number of aperiodic SRS resource sets for xTyR in multi-TRP should be 2\*K | Intel, vivo |
| Clarify how UE should handle OFDM symbols including potential guard period(s) associated with UL SRS antenna switching configuration between non-consecutive UL SRS symbols | Nokia/NSB |
| Support simple indication (e.g. RRC) in Rel-17 whether antenna correspondence holds or not between UL SRS transmission and DL DMRS reception | Nokia/NSB |
| Support N=1 for 1T4R aperiodic SRS | CATT |

Companies’ further views on the above issues are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | This part is kept in case we miss anything essential for Rel-17 completion. |
|  |  |
|  |  |

# Coverage and capacity enhancements

## RB-level partial frequency sounding (RPFS)

This section summarizes companies’ views on remaining issues for RPFS.

### 4.1.1 PF values

Companies discuss details about additional values for PF. Companies’ views are summarized as follows.

Table 4-1

|  |  |
| --- | --- |
| **Additional PF values** | |
| Values | Companies |
| Support additional PF values | * vivo: Support {3, 8, 12} * Futurewei: 3, 8, 12, 16, and fractional numbers * Huawei/HiSilicon: Support 3 if is a multiple of 3 |
| Do not support additional PF values | Intel, CMCC, OPPO |

For PF values, given there is no consensus on whether and how to support PF values other than {2, 4}, FL recommends the following.

***FL Proposal 4-1:*** *No consensus to support PF values other than {2, 4} for RPFS in Rel-17.*

Supported by Intel, CMCC, OPPO, LGE, NEC, Samsung, Ericsson, Qualcomm, Lenovo/MotM, CATT, Spreadtrum, Xiaomi, Nokia/NSB, Apple

Add more P\_F values: Futurewei, Huawei/HiSilicon, NTT DCM

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | Support FL proposal |
|  |  |
|  |  |

### 4.1.2 Start RB location hopping

The remaining issues of start RB location hopping includes three aspects

* Whether to extend start RB location hopping to aperiodic SRS
* Whether to support start RB location hopping within a legacy FH period

**Whether to extend start RB location hopping to aperiodic SRS**

Based on the first-round discussion, the following two options are selected for further discussion as they are supported by more companies.

Table 4-2

|  |  |
| --- | --- |
| **Whether to extend start RB location hopping to aperiodic SRS** | |
| Views | Companies |
| For aperiodic SRS, support same start RB location hopping approach as for P/SP SRS | ZTE, Huawei/HiSilicon, Ericsson, Futurewei, LGE, NEC, Qualcomm, MediaTek, Xiaomi, CMCC, NTT DCM |
| Start RB location hopping is not applicable on aperiodic SRS | Intel, OPPO, vivo |

Based on majority view, the following proposal is given.

***FL Proposal 4-2:*** *For aperiodic SRS, support same start RB location hopping approach as for P/SP SRS.*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | FL encourages companies to share your view about the two options in the above table 4-2, and whether proposal 4-2 is acceptable. |
| OPPO | Although we doubt the benefit, we can live with it if majority companies support it. |
|  |  |

**Whether to support start RB location hopping within a legacy FH period**

Companies’ views on this aspect are summarized as follows.

Table 4-3

|  |  |  |
| --- | --- | --- |
| **Whether to support start RB location hopping within a legacy FH period** | | |
| Views | | Companies |
| Yes | Start RB location hopping is performed across repetition symbols in one SRS resource when R>1 | MediaTek, Spreadtrum |
| Start RB location hopping is performed across SRS occasions in one legacy FH period | CATT |
| No or deprioritize | | NTT DCM, Huawei/HiSilicon, vivo, OPPO, LGE |

***FL Proposal 4-3:*** *TBD*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| OPPO | Not necessary |
|  |  |
|  |  |

### 4.1.3 Applicable cases

Some companies discuss whether to restrict RPFS applicable to FH enabled case only. Companies’ views are summarized as follows.

Table 4-4

|  |  |
| --- | --- |
| **Whether to restrict the applicable cases for RPFS** | |
| Views | Companies |
| Applicable for frequency hopping case only | Intel, CMCC, Qualcomm, OPPO, vivo |
| Applicable for both frequency hopping and non-frequency hopping cases | NEC, ZTE, Futurewei, CATT, LGE, Spreadtrum, Ericsson, Huawei/HiSilicon, Lenovo/MotM, NTT DCM, Nokia/NSB |

***FL Proposal 4-4:*** *No consensus to restrict the applicable case of RPFS to FH only*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | FL suggests to conclude with the above proposal, which reflects the status of the discussion. |
| OPPO | Support for frequency hopping case only. For non-hopping cases, the current spec can achieve the same purpose. |
|  |  |

### 4.1.4 Further restriction on the number of RBs

One remaining issue is whether to further restrict the number of RBs for SRS transmission in RPFS. Companies’ views are summarized as follows.

Table 4-5

|  |  |
| --- | --- |
| **Further restriction on the number of RBs for RPFS** | |
| Alternatives | Companies |
| Alt 1: is an integer value | NEC, ZTE, Futurewei, Ericsson, Huawei/HiSilicon, MediaTek |
| Alt 2: is an integer value with minimum value 4 | NEC, NTT DCM, Nokia/NSB, MediaTek, Lenovo/MotM |
| Alt 3: is a multiple of 4 | Intel, Samsung, Apple, Nokia/NSB, Qualcomm, vivo, OPPO, LG |
| Alt 4: Round to a multiple of 4 in case of Alt 1 or Alt 2 | NEC, Qualcomm, vivo, CATT |

***FL Proposal 4-5:*** *No consensus to have further restriction on the number of RBs for RPFS in Rel-17.*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | FL suggests to conclude with the above proposal, which reflects the status of the discussion. |
| OPPO | Alt.3 for the better support of mulitplexing with legacy UEs and improve the efficency of SRS resource. |
|  |  |

### 4.1.5 Dynamic signaling to determine PF and kF

It has been agreed that RRC signaling is used to indicate PF and kF. The following is to discuss whether more dynamic signaling, e.g., MAC CE or DCI can also be used to update these two values.

Table 4-6

|  |  |
| --- | --- |
| **Signaling to determine PF and kF** | |
| Alternatives | Companies |
| Use MAC CE to update P\_F and/or k\_F | CMCC, NTT DCM, Lenovo/MotM, CATT, Futurewei |
| Use DCI to indicate P\_F and/or k\_F | Lenovo/MotM, CATT, LG, Futurewei, LGE |
| Do not support to use MAC CE or DCI | Samsung, Nokia/NSB, Qualcomm, vivo, Spreadtrum, Ericsson, OPPO, Intel |

***FL Proposal 4-6:*** *No consensus to use MAC CE or DCI to update P\_F and/or k\_F in Rel-17*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | FL suggests to conclude with the above proposal, which reflects the status of the discussion. |
| OPPO | No need to support MAC-CE or DCI |
|  |  |

## Comb-8

The remaining issues for Comb 8 includes

* For the supported Max CS = 6, how 4 ports are supported.
* Whether to support Max CS = 12

### 4.2.1 How to support 4 ports when Max CS = 6

***FL Proposal 4-7 (Working assumption):*** *To support 4 ports with Max CS = 6,*

* *Port 0 and Port 2 locate in n\_CS and (n\_CS+3) mod 6 in comb offset k\_TC, respectively.*
* *Port 1 and Port 3 locate in n\_CS and (n\_CS+3) mod 6 in comb offset (k\_TC + 4) mod 8, respectively.*
* *Note: n\_CS and k\_TC are the configured CS and comb offset values.*
* *Note: This working assumption can be revisited if Max CS = 12 is agreed.*

Supported by Samsung, ZTE, vivo, Huawei/HiSilicon, Lenovo/MotM, MediaTek, NTT DOCOMO, Intel, OPPO, Futurewei, Apple

Another alternative: Allow 4 CSs for each comb offset to support 4 ports

Supported by Ericsson

This is just a place holder. We will try to address this issue in email first.

### 4.2.2 Whether to support Max CS = 12

Companies’ views on this aspect are summarized as follows.

Table 4-8

|  |  |
| --- | --- |
| **Whether to support Max CS = 12** | |
| Alternatives | Companies |
| Yes | NEC (when the sequence length is 12), NTT DCM, Nokia/NSB, Qualcomm, MediaTek, Lenovo/MotM, Ericsson, CATT, Intel |
| No | Samsung, Huawei/HiSilicon, Spreadtrum, Futurewei, vivo, OPPO, Spreadtrum, CMCC |

***FL Proposal 4-8:*** *No consensus to support Max CS = 12 for comb-8 in Rel-17.*

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | FL suggests to conclude with the above proposal, which reflects the status of the discussion. |
| OPPO | Support the conclusion |
|  |  |

## Others

The following issue is discussed by one companies.

|  |  |
| --- | --- |
| Support different repetition factors/SRS bandwidths for different symbols within one SRS resource | Nokia/NSB |
| Support to use RRC, MAC CE and DCI to indicate the Comb number and offset | Futurewei |

Companies’ further views are collected as follows.

|  |  |
| --- | --- |
| Companies | Views |
| *FL* | This part is kept in case we miss anything essential for Rel-17 completion. |
|  |  |
|  |  |

# Conclusion

The following proposals are recommended at least for the GTW discussion.

# 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}.  **RAN1#104e**  **Agreement**  For Rel-17 SRS capacity and coverage enhancement, support the following   * Increase the maximum number of repetition symbols in one slot and one SRS resource to S   + Support at least one S value from {8, 10, 12, 14}     - FFS other candidate values * Support to transmit SRS only in  contiguous RBs in one OFDM symbol, where  indicates the number of RBs configured by BSRS and CSRS   + Support at least one PF value from {2, [3], 4, 8}     - FFS other candidate values, e.g., non-integer values for PF   + Note: SRS sequence shorter than the minimum length supported in the current specification is not pursued.   + No new sequence including length is introduced   + FFS it is applicable to frequency hopping and non-frequency hopping   + FFS detailed signaling mechanism to determine PF and the location of the  RBs * Support Comb 8   + Note: SRS sequence shorter than the minimum length supported in the current specification is not pursued. * FFS whether and if needed, how to use harmonized approach to define the three supported schemes * Note: other schemes for SRS capacity and coverage enhancements are not supported in Rel-17.   **Agreement**   * For aperiodic antenna switching SRS, support to configure N <=N\_max resource sets, where totally K resources are distributed in the N resource sets flexibly based on RRC configuration.   + For 1T6R, K=6, N\_max = [4], and each resource has 1 port.   + For 1T8R, K=8, N\_max = [4], and each resource has 1 port.   + For 2T6R, K=3, N\_max = [3], and each resource has 2 ports.   + For 2T8R, K=4, N\_max = [4], and each resource has 2 ports.   + (Working Assumption) For 4T8R, K=2, N\_max = [2], and each resource has 4 ports.   + FFS the number of supported candidate values of N for each xTyR. * FFS extension to increase N\_max for 1T4R, 2T4R, T=R and 1T2R cases for aperiodic, periodic and semi-persistent SRS resources * FFS the number of resources and resource sets for semi-persistent and periodic antenna switching SRS * Note: SRS could be transmitted over the last 6 OFDM symbols, or over any OFDM symbols within the slot subject to UE capability.   **Agreement**  Further study whether and if needed, how to achieve further enhancements on aperiodic SRS triggering and resource management based on repurposing unused fields in DCI format 0\_1/0\_2 without data and without CSI. Consider the following examples   * CAT A: Time-domain parameters   + A-1: Indication of available slot position, i.e., the t values   + A-2: Indication of slot offset   + A-3: Indication of SRS symbol-level offset   + A-4: Indication of time-domain behavior for SRS transmission over multiple OFDM symbols, e.g., repetition, hopping, and/or splitting * CAT B: Frequency-domain parameters   + B-1: Indication of a group of CCs for SRS transmission   + B-2: Indication of frequency domain resource in a BWP for SRS transmission   + B-3: Indication of whether DL/UL BWP is applied for SRS transmission * CAT C: Power control parameters   + C-1: Re-purpose ‘TPC command for PUSCH’ as ‘TPC command for SRS’     - FFS impact on power control, impact from triggering a group of CCs for SRS   + C-2: Indication of open loop power control parameter e.g., p0. * CAT D: Spatial-domain parameters, i.e., indication of SRS port and beamforming * CAT E: Extend the number of DCI codepoints for aperiodic SRS trigger states * Other examples are not precluded   **Agreement**  A list of t values is configured in RRC for each SRS resource set. Adopt at least one of the following for DCI indication of t.   * In DCI format 0\_1/0\_2 without data and without CSI request,   + Alt 1-1: Reuse the same scheme used for DCI format 0\_1/0\_2/1-1/1-2 that schedules a PDSCH or PUSCH   + Alt 1-2: Re-purpose unused DCI field to indicate t   + Alt 1-3: t is indicated by a configurable DCI field, where the DCI field may contain bits from unused fields and additional bits configured by gNB     - FFS design details with other potential field(s)   + FFS: whether t can be slot offset * In DCI format 0\_1/0\_2/1-1/1-2 that schedules a PDSCH or PUSCH   + Alt 2-1: t is indicated by adding a new configurable DCI field   + Alt 2-2: t is indicated without adding DCI payload * Note: The size of DCI payload does not change dynamically * Note: RAN1 should strive for unified solution for different DCI formats. * FFS: The number of RRC configured t values per SRS resource set and DCI bit field size.   **Agreement**  Confirm the following working assumption with modifications  An “available slot” is a 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 UE capability on the minimum timing requirement between triggering PDCCH and all the SRS resources in the resource set.   * From the first symbol carrying the SRS request DCI and the last symbol of the triggered SRS resource set, UE does not expect to receive SFI indication, UL cancellation indication or dynamic scheduling of DL channel/signal(s) on flexible symbol(s) that may change the determination of “available slot”. * Note: Collision handling between the triggered SRS and any other UL channel/signal is performed after the determination of available slot. * FFS: Rules to handle the case of multiple SRS resource sets with overlapping symbols and/or triggered by a same DCI   **RAN1#104bis-e**  **Agreement**  For increased repetition in Rel-17, support the following N\_symbol (number of OFDM symbols in one SRS resource) and R (repetition factor) values   * N\_symbol = 8, R = {1, 2, 4, 8} * N\_symbol = 12, R = {1, 2, [3], 4, 6, 12} * FFS the following configurations   + N\_symbol = 10, R = {1, 2, 5, 10}   + N\_symbol = 14, R = {1, 2, 7, 14} * FFS options to reduce SRS BW for R>1   **Agreement**  On aperiodic SRS configuration for antenna switching with > 4Rx, support the following N\_max values   * 1T6R: N\_max = 3 * 1T8R: N\_max = 4 * 2T6R: N\_max = 3 * 2T8R: N\_max = 4 * [4T8R: N\_max = 2] * The support of N\_max value does not imply the support of N value that is smaller than N\_max. This is FFS. * FFS whether further enhancement for single-DCI or multi-DCI based MTRP is needed   **Agreement**  For RB-level partial frequency sounding (RPFS) in Rel-17   * The start RB index of the RBs in the RBs is , where kF = {0, …, PF-1}   + FFS support start RB location (Noffset) hopping in different SRS occasions, symbols or frequency hopping periods, and if supported, detailed hopping pattern * Support to determine PF and Noffset at least via RRC configuration per SRS resource.   + FFS whether to introduce DCI and/or MAC CE in addition   **Working Assumption**  For DCI indication of “t” in Rel-17 SRS triggering offset enhancement   * For both DCI that schedules a PDSCH/PUSCH and DCI 0\_1/0\_2 without data and without CSI request   + t is indicated by adding a new configurable DCI field (up to 2 bits)     - Applies only when there are multiple candidate values of t configured   + No further enhancement to indicate “t” for DCI 0\_1/0\_2 without data and without CSI request at least when the new DCI field is configured   **Agreement**  On supported values of N for Rel-17 aperiodic SRS antenna switching with >4Rx, down-select at least one of the following alternatives in RAN1#105e   * Alt 1: All the non-zero integer values <= N\_max are supported for N * Alt 2: Support N=N\_max only * Alt 3: Support specific N values <= N\_max * FFS whether different alternatives may be selected for the same xTyR configuration subject to the UE capability on maximum number of symbols that can be used for SRS in a slot * FFS: whether different alternatives may be selected for different xTyR configuration   **Agreement**  Study the maximum number of cyclic shifts for Comb-8 in Rel-17, with the following alternatives as starting points   * Alt 1: The maximum number of CSs for Comb-8 is 6 * Alt 2: The maximum number of CSs for Comb-8 is 12, and introduce a rule to restrict applicable CSs when SRS sequence is shorter than the maximum number of CSs   **Agreement**   * Up to 4 “t” values can be configured per SRS resource set.   **Agreement**   * For RPFS in Rel-17, support PF = {2, 4}. * FFS 3, 8, 12, 16 or fractional numbers * Support at least one of the following alternatives (to be decided in RAN1#105-e)   + Alt 1: is an integer value   + Alt 2: is an integer value with minimum value 4   + Alt 3: is a multiple of 4   + Alt 4: Round to a multiple of 4 in case of Alt 1 or Alt 2   **Agreement**  On aperiodic SRS configuration for antenna switching with 4T8R, support N\_max = 2  **Agreement**  For RPFS SRS in Rel-17, adopt one of the following alternatives for sequence generation, where no new sequence length other than the ones supported in the current spec is introduced (to be decided in RAN1#105-e)   * Alt 1: Generate length- ZC sequence * Alt 2: Truncate from legacy length- sequence according to the location of RPFS SRS   **Agreement**  For antenna switching, support one of the following   * Alt 1: Support maximum one SRS resource set for periodic SRS and maximum one SRS resource set for semi-persistent SRS * Alt 2: Support up to two semi-persistent SRS resource sets in addition to a periodic SRS resource set   + Note: the two SP-SRS resource sets are not activated at the same time. * FFS whether further enhancement for single-DCI or multi-DCI based MTRP is needed * FFS whether configurations on SRS repetitions have impact * FFS relevant UE capability design   **RAN1#106-e**  **Agreement**  Confirm the following WA:  For DCI indication of “t” in Rel-17 SRS triggering offset enhancement   * For both DCI that schedules a PDSCH/PUSCH and DCI 0\_1/0\_2 without data and without CSI request   + t is indicated by adding a new configurable DCI field (up to 2 bits)     - Applies only when there are multiple   candidate values of t configured   + No further enhancement to indicate “t” for DCI 0\_1/0\_2 without data and without CSI request at least when the new DCI field is configured   **Agreement**  Support start RB location (Noffset) hopping in different SRS frequency hopping periods for RPFS and at least periodic/semi-persistent SRS, where Noffset is the start RB index of the RBs in the RBs.   * For a given SRS transmission occasion, , where khopping is same for all SRS occasions within a legacy FH period but changes across legacy FH periods, kF and PF are at least configured by RRC signaling (kF = {0, 1, …, PF-1}). * Support at least one pattern for khopping in time domain, FFS detailed pattern * Note: the legacy FH period is the period to sound the full SRS hopping bandwidth across the different subbands of RBs each. * This start RB location hopping is enabled or disabled by RRC signaling. * FFS whether MAC CE or DCI can be additionally used * When this start RB location hopping is disabled, khopping is fixed to be 0 for all SRS symbols * This start RB location hopping is UE optional. * FFS whether start RB location hopping is also applicable on SRS occasion(s) within one FH period (e.g., when R>1) and/or on aperiodic SRS, if so, how   **Agreement**  For aperiodic xTyR antenna switching SRS, where xTyR is from {1T6R, 1T8R, 2T6R, 2T8R, 4T8R}, support all the non-zero integer values N<=N\_max except N=1 for 1T8R   * For each xTyR configuration, UE does not expect multiple SRS resource sets are configured or triggered in one slot * UE does not expect that the OFDM symbols contained in one SRS resource set exceed UE capability on which OFDM symbols can be used for SRS taking guard period into account   **Agreement**  Support Opt. 2: Reference slot is the slot indicated by the legacy triggering offset.   * If DCI is transmitted in slot n, and k is the legacy triggering offset, reference slot is slot n+k. * Note: the legacy triggering offset can be 0, if slotOffset is absent.   **Conclusion**  MAC CE for t value update in Rel-17 is not supported.  **Agreement**  For antenna switching SRS, support maximum one SRS resource set for periodic SRS and maximum 2 SRS resource sets for semi-persistent SRS.   * Note: the two SP-SRS resource sets are not activated at the same time * For xTyR where y>4, if UE does NOT support this feature, support maximum one SRS resource set for periodic SRS and maximum one SRS resource set for semi-persistent SRS * Applies for all supported xTyR where y<=8 * For each xTyR antenna switching (except for 4T6R if supported), each periodic or semi-persistent resource set contains y/x resources.   This feature is UE optional: For UEs that do not support this feature, follow Rel-15 on the number of resource sets for periodic and semi-persistent SRS  **Agreement**   * Support 4T6R SRS antenna switching in Rel-17.   **Agreement**  For RPFS SRS sequence generation, support   * Alt 1: Generate length- ZC sequence.   **Agreement**  For SRS increased repetitions in Rel-17, support the following configurations, and no other values are supported.   * (N\_symbol, R) = {(8, 1), (8, 2), (8, 4), (8, 8), (12, 1), (12, 2), (12, 3), (12, 4), (12, 6), (12, 12), (10, 1), (10, 2), (10, 5), (10,10), (14, 1), (14, 2), (14, 7), (14, 14)} * Note: N\_symbol SRS symbols are adjacent in a slot.   **Agreement**   * On the presence of guard symbols in Rel-17 for SRS antenna switching, down-select one of the following   + Alt 1-0: Guard symbols are always-on, which is same as Rel-15   + Alt 1-1: Guard symbols are configurable subject to UE capability * On whether to introduce guard symbols between SRS resource sets for antenna switching, down-select one of the following   + Alt 2-0: Do not introduce guard symbols between SRS resource sets, i.e., guard symbols only appears between SRS resources in a resource set   + Alt 2-1: Introduce guard symbols between two sets mapped to consecutive slots * Note: Rel-15 guard period symbols are supported if none of the above enhancements is agreed   **Agreement**  For Comb-8 SRS in Rel-17, down-select one of the following in RAN1#106bis-e   * Alt 1: The maximum number of CSs for Comb-8 is 6 * Alt 2: The maximum number of CSs for Comb-8 is 12, and introduce a rule to restrict applicable CSs when SRS sequence is shorter than the maximum number of CSs   **RAN1#106bis-e**  **Agreement**  For two SRS resource sets of an xTyR antenna switching located in two consecutive slots, if UE is capable of transmitting SRS in all symbols in one slot, a minimum gap period of Y symbols exists between the last OFDM symbol occupied by the SRS resource set in the first slot and the first OFDM symbol occupied by the SRS resource set in the second slot   * The value of Y is same as the inter-resource GP defined in Rel-15 * FFS: Whether or not the minimum GP exists can be RRC configurable subject to UE capability * Whether this inter-set GP is needed for 4T6R can be discussed later per the decision on 4T6R configuration. * FFS: How/Whether to handle the case where the interval between SRS resource sets is larger than Y   **Agreement**  For the detailed pattern of when start RB location hopping across legacy FH periods is enabled, support the following   * For PF = 2, = {0, 1} * For PF = 4, = {0, 2, 1, 3} * Note: means for the (n+1)-th legacy FH period, where n = {0, 1, 2, 3, …}   **Agreement**  Bit width of SOI depends on the maximum number of “t” values configured for any of the aperiodic SRS resource sets (FFS: across all CCs or across a CC/BWP)   * The SOI field is 0 bit if the maximum number of ‘t’ values is one * If at least one resource set has “t” configured   + For the resource sets with “t” value configured, each of them is configured with K values of “t”, where 1<=K<=4   + t=0 applies for the resource set(s) without “t” configured in RRC * If none of the resource sets is configured with “t” values, follow Rel-15 approach to determine slot offset   **Agreement**  For comb-8 SRS in Rel-17, the maximum number of CSs is 6.   * FFS: Whether a maximum number of 12 CSs is supported   **Agreement**  For extension of aperiodic antenna switching SRS configurations for <=4Rx, support N=4 for 1T4R and N=2 for 1T2R/2T4R.   * The above extension is UE optional   **Agreement**  On SRS configuration for 4T6R, select at least one from the following three alternatives in RAN1#107e   * Alt 1: 4 + 2 * Alt 2: 2+2+2   + Alt 2-1:     - No guard symbols exist between the 1st and the 2nd transmission. Y guard symbol(s) exist between 2nd and 3rd transmission, where Y is same as the value defined in the current specification for different SCSs   + Alt 2-2:     - For SCS=15, 30 and 60KHz: No guard symbols exist     - For SCS=120 KHz: No guard symbols exist between the 1st  and the 2nd transmission, and 1 guard symbol exists between the 2nd and 3rd transmission * Clarification on the notation: means totally K resources are needed, where the k-th resource contains ports, 1<=k<=K |

# References

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