**3GPP TSG-RAN2 #110\_e R2-20xxxxx**

**Electronic meeting, 1st to 12th June 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.321** | **CR** |  | **rev** |  | **Current version:** | **16.0.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **x** | Radio Access Network | **x** | Core Network |  |

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| ***Title:*** |  | | | | | | | | | |
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| ***Source to WG:*** | Ericsson, LG Electronics, Samsung | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_unlic-Core, NR\_eMIMO-Core, TEI16 | | | | |  | ***Date:*** | | | 2020-06-08 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | There are various minor inconsistencies in the specification.  1. Two WIs (NR\_unlic-Core and NR\_eMIMO-Core) have introduced new type of SRs, and the text in the SR clause (clause 5.4.4) is becoming less understandable and less maintainable.  2. The text in the SR clause regarding criteria for which the UE may cancel random access procedures is complex and hard to maintain.  3. In the function for error handling the term LCID is used to determine the corresponding action upon detection of an reserved LCID. This text overlooks the introduction of eLCID leaving the UE behaviour upon reception of a reserved eLCID value unspecified.  4. In the description of the fields of the MAC subheader the full function of the eLCID is not described. An eLCID can also describe the type of a corresponding MAC CE which is missing in the text. | | | | | | | | |
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| ***Summary of change:*** | | 1. The text for SR cancellation is aligned for the new type of SRs introduced.  2. The text for cancellation of random access procedures is restructured.  3. The term eLCID is introduced in the function for error handling.  4. The description of the field eLCID is updated to reflect the intended functionality. | | | | | | | | |
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| ***Consequences if not approved:*** | | 1. The specification remains hard to read and maintain.  2. The specification remains hard to read and maintain.  3. The UE behaviour when receiving a reserved eLCID value remains unspecified.  4. A UE could reject eLCIDs which correspond to MAC CEs. | | | | | | | | |
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| ***Clauses affected:*** | | 5.4.4, 5.13, 6.2.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **x** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

Start of changes

# 5 MAC procedures

## 5.4 UL-SCH data transfer

### 5.4.4 Scheduling Request

The Scheduling Request (SR) is used for requesting UL-SCH resources for new transmission.

The MAC entity may be configured with zero, one, or more SR configurations. An SR configuration consists of a set of PUCCH resources for SR across different BWPs and cells. For a logical channel or for SCell beam failure recovery (see clause 5.17) and for consistent LBT failure (see clause 5.21), at most one PUCCH resource for SR is configured per BWP.

Each SR configuration corresponds to one or more logical channels or to SCell beam failure recovery and/or to consistent LBT failure. Each logical channel, and consistent LBT failure, may be mapped to zero or one SR configuration, which is configured by RRC. The SR configuration of the logical channel that triggered a BSR other than Pre-emptive BSR (clause 5.4.5) or the SCell beam failure recovery or the consistent LBT failure (clause 5.21) (if such a configuration exists) is considered as corresponding SR configuration for the triggered SR. Any SR configuration may be used for an SR triggered by Pre-emptive BSR (clause 5.4.5).

RRC configures the following parameters for the scheduling request procedure:

- *sr-ProhibitTimer* (per SR configuration);

- *sr-TransMax* (per SR configuration).

The following UE variables are used for the scheduling request procedure:

- *SR\_COUNTER* (per SR configuration).

If an SR is triggered and there are no other SRs pending corresponding to the same SR configuration, the MAC entity shall set the *SR\_COUNTER* of the corresponding SR configuration to 0.

When an SR is triggered, it shall be considered as pending until it is cancelled.

All pending SR(s) for BSR triggered according to the BSR procedure (clause 5.4.5) prior to the MAC PDU assembly shall be cancelled and each respective *sr-ProhibitTimer* shall be stopped when the MAC PDU is transmitted, regardless of LBT failure indication from lower layers, and this PDU includes a Long or Short BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly. All pending SR(s) for BSR triggered according to the BSR procedure (clause 5.4.5) shall be cancelled and each respective *sr-ProhibitTimer* shall be stopped when the UL grant(s) can accommodate all pending data available for transmission.

The MAC entity shall for each pending SR:

1> if the SR was triggered according to the BSR procedure (clause 5.4.5) and prior to the MAC PDU assembly and the MAC PDU is transmitted, regardless of LBT failure indication from lower layers and this PDU includes a Long or Short BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR prior to the MAC PDU assembly; or

1> if the SR was triggered according to the BSR procedure (clause 5.4.5) and the UL grant(s) can accommodate all pending data available for transmission; or

1> if the SR was triggered according to the BFR procedure (clause 5.17) and prior to the MAC PDU assembly and the MAC PDU is transmitted and this PDU includes an SCell BFR MAC CE or truncated SCell BFR MAC CE which contains beam failure recovery information of that SCell; or

1> if the SR was triggered according to the LBT failure detection procedure (clause 5.21.2) and a MAC PDU is transmitted, regardless of LBT failure indication from lower layers, and the MAC PDU includes an LBT failure MAC CE that indicates consistent LBT failure for the Serving Cell that triggered this SR; or

1> if the SR was triggered according to the LBT failure detection procedure (clause 5.21.2) and the corresponding consistent LBT failure is cancelled:

2> cancel the pending SR and stop the corresponding *sr-ProhibitTimer*.

Only PUCCH resources on a BWP which is active at the time of SR transmission occasion are considered valid.

As long as at least one SR is pending, the MAC entity shall for each pending SR:

1> if the MAC entity has no valid PUCCH resource configured for the pending SR:

2> initiate a Random Access procedure (see clause 5.1) on the SpCell and cancel the pending SR.

1> else, for the SR configuration corresponding to the pending SR:

2> when the MAC entity has an SR transmission occasion on the valid PUCCH resource for SR configured; and

2> if *sr-ProhibitTimer* is not running at the time of the SR transmission occasion; and

2> if the PUCCH resource for the SR transmission occasion does not overlap with a measurement gap:

3> if the PUCCH resource for the SR transmission occasion overlaps with neither a UL-SCH resource nor an SL-SCH resource; or

3> if the MAC entity is configured with *lch-basedPrioritization*, and the PUCCH resource for the SR transmission occasion overlaps with any UL-SCH resource(s), and the priority of the logical channel that triggered SR is higher than the priority of the uplink grant(s) for any UL-SCH resource(s) where the priority of the uplink grant is determined as specified in clause 5.4.1; or

3> if a SL-SCH resource overlaps with the PUCCH resource for the SR transmission occasion for the pending SR triggered as specfied in clause 5.4.5, and the MAC entity is not able to perform this SR transmission simultaneously with the transmission of the SL-SCH resource, and either transmission on the SL-SCH resource is not prioritized as described in clause 5.22.1.3.1 or the priority value of the logical channel that triggered SR is lower than *ul-Prioritizationthres*, if configured; or

3> if a SL-SCH resource overlaps with the PUCCH resource for the SR transmission occasion for the pending SR triggered as specfied in clause 5.22.1.5, and the MAC entity is not able to perform this SR transmission simultaneously with the transmission of the SL-SCH resource, and the priority of the triggered SR determined as specified in clause 5.22.1.5 is higher than the priority of the MAC PDU determined as specified in clause 5.22.1.3.1 for the SL-SCH resource:

4> the other overlapping uplink grant(s), if any, is a de-prioritized uplink grant;

4> if SR\_COUNTER < sr-TransMax:

5> instruct the physical layer to signal the SR on one valid PUCCH resource for SR;

5> if LBT failure indication is not received from lower layers:

5> increment *SR\_COUNTER* by 1;

6> start the *sr-ProhibitTimer*.

4> else:

5> notify RRC to release PUCCH for all Serving Cells;

5> notify RRC to release SRS for all Serving Cells;

5> clear any configured downlink assignments and uplink grants;

5> clear any PUSCH resources for semi-persistent CSI reporting;

5> initiate a Random Access procedure (see clause 5.1) on the SpCell and cancel all pending SRs.

NOTE 1: Except for SR for SCell beam failure recovery, the selection of which valid PUCCH resource for SR to signal SR on when the MAC entity has more than one overlapping valid PUCCH resource for the SR transmission occasion is left to UE implementation.

NOTE 2: If more than one individual SR triggers an instruction from the MAC entity to the PHY layer to signal the SR on the same valid PUCCH resource, the SR\_COUNTER for the relevant SR configuration is incremented only once.

NOTE 3: When the MAC entity has pending SR for SCell beam failure recovery and the MAC entity has one or more PUCCH resources overlapping with PUCCH resource for SCell beam failure recovery for the SR transmission occasion, the MAC entity considers only the PUCCH resource for SCell beam failure recovery as valid.

NOTE 4: For a UE operating in a semi-static channel access mode as described in TS 37.213 [18], PUCCH resources overlapping with the idle time of a fixed frame period are not considered valid.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR for BSR which has no valid PUCCH resources configured, which was initiated by MAC entity prior to the MAC PDU assembly. The ongoing Random Access procedure may be stopped when the MAC PDU is transmitted, regardless of LBT failure indication from lower layers, using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes a BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly, or when the UL grant(s) can accommodate all pending data available for transmission. The ongoing Random Access procedure due to a pending SR for BFR of an SCell may be stopped when the MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response and this PDU contains an SCell BFR MAC CE or truncated SCell BFR MAC CE which includes beam failure recovery information of that SCell.

The MAC entity may, for any ongoing Random Access procedure:

1> if the the ongoing Random Access procedure is due to a pending SR for BSR which has no valid PUCCH resources configured:

2> if the pending SR for BSR was initiated by MAC entity prior to the MAC PDU assembly; and

2> if the the MAC PDU is transmitted, regardless of LBT failure indication from lower layers, using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload; and

2> if this PDU includes a BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly, or when the UL grant(s) can accommodate all pending data available for transmission:

3> stop the ongoing Random Access procedure;

1> if the ongoing Random Access procedure is due to a pending SR for BFR of an SCell:

2> if the MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response; and

2> if this PDU contains an SCell BFR MAC CE or truncated SCell BFR MAC CE which includes beam failure recovery information of that SCell:

3> stop the ongoing Random Access procedure;

Editor's Note: It is FFS how Random Access procedures started due to consistent LBT failures are cancelled.

Next change

## 5.13 Handling of unknown, unforeseen and erroneous protocol data

When a MAC entity receives a MAC PDU for the MAC entity's C-RNTI or CS-RNTI, or by the configured downlink assignment, containing a Reserved LCID or eLCID value, or an LCID or eLCID value the MAC Entity does not support, the MAC entity shall at least:

1> discard the received subPDU and any remaining subPDUs in the MAC PDU.

When a MAC entity receives a MAC PDU for the MAC entity's C-RNTI or CS-RNTI, or by the configured downlink assignment, containing an LCID or eLCID value which is not configured, the MAC entity shall at least:

1> discard the received subPDU.

When a MAC entity receives a MAC PDU on SL-SCH containing a Reserved LCID value for broadcast or groupcast, or an LCID value which is not configured, the MAC entity shall:

1> discard the received subPDU.

Next change

# 6 Protocol Data Units, formats and parameters

## 6.2 Formats and parameters

### 6.2.1 MAC subheader for DL-SCH and UL-SCH

The MAC subheader consists of the following fields:

- LCID: The Logical Channel ID field identifies the logical channel instance of the corresponding MAC SDU or the type of the corresponding MAC CE or padding as described in Tables 6.2.1-1 and 6.2.1-2 for the DL-SCH and UL-SCH respectively. There is one LCID field per MAC subheader. The LCID field size is 6 bits. If the LCID field is set to 34, one additional octet is present in the MAC subheader containing the eLCID field and follow the octet containing LCID field. If the LCID field is set to 33, two additional octets are present in the MAC subheader containing the eLCID field and these two additional octets follow the octet containing LCID field;

- eLCID: The extended Logical Channel ID field identifies the logical channel instance of the corresponding MAC SDU or the type of the corresponding MAC CE as described in tables 6.2.1-1a, 6.2.1-1b, 6.2.1-2a and 6.2.1-2b for the DL-SCH and UL-SCH respectively. The size of the eLCID field is either 8 bits or 16 bits.

NOTE 1: The extended Logical Channel ID space using two-octet eLCID and the relevant MAC subheader format is used, only when configured, on the NR backhaul links between IAB nodes or between IAB node and IAB Donor.

- L: The Length field indicates the length of the corresponding MAC SDU or variable-sized MAC CE in bytes. There is one L field per MAC subheader except for subheaders corresponding to fixed-sized MAC CEs, padding, and MAC SDUs containing UL CCCH. The size of the L field is indicated by the F field;

- F: The Format field indicates the size of the Length field. There is one F field per MAC subheader except for subheaders corresponding to fixed-sized MAC CEs, padding, and MAC SDUs containing UL CCCH. The size of the F field is 1 bit. The value 0 indicates 8 bits of the Length field. The value 1 indicates 16 bits of the Length field;

- R: Reserved bit, set to 0.

The MAC subheader is octet aligned.

Table 6.2.1-1 Values of LCID for DL-SCH

|  |  |
| --- | --- |
| Codepoint/Index | LCID values |
| 0 | CCCH |
| 1–32 | Identity of the logical channel |
| 33 | Extended logical channel ID field (two-octet eLCID field) |
| 34 | Extended logical channel ID field (one–octet eLCID field) |
| 35 | Reserved |
| 36 | SP Positioning SRS Activation/Deactivation |
| 37 | Duplication RLC Activation/Deactivation |
| 38 | Absolute Timing Advance Command |
| 39 | CC list-based SRS Activation/Deactivation |
| 40 | PUSCH Pathloss Reference RS Activation/Deactivation |
| 41 | SRS Pathloss Reference RS Activation/Deactivation |
| 42 | AP SRS spatial relation Indication |
| 43 | Enhanced PUCCH spatial relation Activation/Deactivation |
| 44 | Enhanced TCI States Activation/Deactivation for UE-specific PDSCH |
| 45 | Number of Provided Guard Symbols |
| 46 | Timing Delta |
| 47 | Recommended bit rate |
| 48 | SP ZP CSI-RS Resource Set Activation/Deactivation |
| 49 | PUCCH spatial relation Activation/Deactivation |
| 50 | SP SRS Activation/Deactivation |
| 51 | SP CSI reporting on PUCCH Activation/Deactivation |
| 52 | TCI State Indication for UE-specific PDCCH |
| 53 | TCI States Activation/Deactivation for UE-specific PDSCH |
| 54 | Aperiodic CSI Trigger State Subselection |
| 55 | SP CSI-RS/CSI-IM Resource Set Activation/Deactivation |
| 56 | Duplication Activation/Deactivation |
| 57 | SCell Activation/Deactivation (four octets) |
| 58 | SCell Activation/Deactivation (one octet) |
| 59 | Long DRX Command |
| 60 | DRX Command |
| 61 | Timing Advance Command |
| 62 | UE Contention Resolution Identity |
| 63 | Padding |

Table 6.2.1-1a Values of two-octet eLCID for DL-SCH

|  |  |
| --- | --- |
| Index | LCID values |
| 320 to (216 + 191) | Identity of the logical channel |
| (216 + 192) to (216 + 319) | Reserved |

Table 6.2.1-1b Values of one-octet eLCID for DL-SCH

|  |  |  |
| --- | --- | --- |
| Codepoint | Index | LCID values |
| 0 to 255 | 64 to 319 | reserved |

Table 6.2.1-2 Values of LCID for UL-SCH

|  |  |
| --- | --- |
| Index | LCID values |
| 0 | CCCH of size 64 bits (referred to as "CCCH1" in TS 38.331 [5]) |
| 1–32 | Identity of the logical channel |
| 33 | Extended logical channel ID field (two–octet eLCID field) |
| 34 | Extended logical channel ID field (one–octet eLCID field) |
| 35–39 | Reserved |
| 40 | Sidelink Configured Grant Confirmation |
| 41 | Truncated Sidelink BSR |
| 42 | Sidelink BSR |
| 43 | Multiple Entry Configured Grant Confirmation |
| 44 | LBT failure (four octets) |
| 45 | LBT failure (one octet) |
| 46 | SCell BFR (four octets Ci) |
| 47 | SCell BFR (one octet Ci) |
| 48 | Truncated SCell BFR (four octets Ci) |
| 49 | Truncated SCell BFR (one octet Ci) |
| 50 | Number of Desired Guard Symbols |
| 51 | Pre-emptive BSR |
| 52 | CCCH of size 48 bits (referred to as "CCCH" in TS 38.331 [5]) |
| 53 | Recommended bit rate query |
| 54 | Multiple Entry PHR (four octets Ci) |
| 55 | Configured Grant Confirmation |
| 56 | Multiple Entry PHR (one octet Ci) |
| 57 | Single Entry PHR |
| 58 | C-RNTI |
| 59 | Short Truncated BSR |
| 60 | Long Truncated BSR |
| 61 | Short BSR |
| 62 | Long BSR |
| 63 | Padding |

Table 6.2.1-2a Values of two-octet eLCID for UL-SCH

|  |  |
| --- | --- |
| Codepoint/IIndex | LCID values |
| 320 to (216 + 191) | Identity of the logical channel |
| (216 + 192) to (216 + 319) | Reserved |

Table 6.2.1-2b Values of one-octet eLCID for UL-SCH

|  |  |  |
| --- | --- | --- |
| Codepoint | Index | LCID values |
| 0 to 255 | 64 to 319 | reserved |

NOTE 2: For the eLCID space, the 16-bit codepoint 000…00 (all zeros) corresponds to the index value of 320, while the 16-bit codepoint 111…11 (all ones) corresponds to the index value of 216+ 319.

End of changes