**3GPP TSG-RAN WG2 Meeting #112-e  *R2-201xxxx***

**online, online, 2 November 2020 – 13 November 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **38.321** | **CR** | **xxxx** | **rev** | **-** | **Current version:** | **15.10.0** |  |
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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 |  | Core Network |  |

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| ***Title:***  |  |
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| ***Source to WG:*** | Samsung, Ericsson, Lenovo, Motorola Mobility, ASUSTeK, Nokia |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | NR\_newRAT-Core |  | ***Date:*** | 2020-11-09 |
|  |  |  |  |  |
| ***Category:*** | **F** |  | ***Release:*** | Rel-15 |
|  | *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 canbe 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)* |
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| ***Reason for change:*** | 1. During implementation of CR0767 (R2-2006657 “Clarification on operations in a bundle of UL grants”, RAN2#111-e) an error happened in subclause 5.4.2.1 where it was forgotten to remove the word “initial” in the sentence below:*When the first initial uplink grant within a bundle is delivered to the HARQ entity, all the subsequent uplink grants within the bundle for HARQ retransmissions are delivered to the HARQ entity.*2. The paragraph for bundling operation in subclause 5.4.2.1 can be improved for better readability, and early termination of bundling operation (e.g. when UL grant is received for the same process) can be clarified by adding 'at most' to the sentence for the dynamic grant.3. The terminology around the optional features *pdsch-RepetitionMultiSlots* and *pusch-RepetitionMultiSlots* in different parts of the MAC spec is not aligned: In section 5.3 and 5.4 the term “bundle” is used, while in 5.7 “repetition” is used.4. The term 'RACH proceudre' is incorrect, and can be updated to 'Random Access procedure' |
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| ***Summary of change:*** | The CR does not contain any functional change:1 In subclause 5.4.2.1, the word 'initial' is removed.2 In subclause 5.4.2.1, the paragraph for bundling operation is revised for better readability.3-1 In subclause 5.4.1, NOTE 1 in 5.4.1 is aligned to the corresponding NOTE 2 in subclause 5.3.1.3-2 In subclause 5.7, the terminology for starting of the drx-HARQ-RTT-TimerUL is changed to 'after the end of the first ~~repetition~~transmission (within a bundle)'4 In subclause 5.12, the term 'RACH procedure' is updated to 'Random Access procedure' for the consistency.**Impact analysis**Architecture options(NG)EN-DC, NR SA, NE-DC, and NR-DCImpacted functionality:None (merely to clarify the text for bundling operation and others)Inter-operability:If only the network is implemented according to the CR, no interoperability problems are foreseen.If only the UE is implemented according to the CR, no interoperability problems are foreseen. |
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| ***Consequences if not approved:*** | The specification remains with error. |
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| ***Clauses affected:*** | 5.4.1, 5.4.2.1, 5.7, and 5.12 |
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|  | **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 ...  |
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| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | - |

### 5.4.1 UL Grant reception

Uplink grant is either received dynamically on the PDCCH, in a Random Access Response, or configured semi-persistently by RRC. The MAC entity shall have an uplink grant to transmit on the UL-SCH. To perform the requested transmissions, the MAC layer receives HARQ information from lower layers.

If the MAC entity has a C-RNTI, a Temporary C-RNTI, or CS-RNTI, the MAC entity shall for each PDCCH occasion and for each Serving Cell belonging to a TAG that has a running *timeAlignmentTimer* and for each grant received for this PDCCH occasion:

1> if an uplink grant for this Serving Cell has been received on the PDCCH for the MAC entity's C-RNTI or Temporary C-RNTI; or

1> if an uplink grant has been received in a Random Access Response:

2> if the uplink grant is for MAC entity's C-RNTI and if the previous uplink grant delivered to the HARQ entity for the same HARQ process was either an uplink grant received for the MAC entity's CS-RNTI or a configured uplink grant:

3> consider the NDI to have been toggled for the corresponding HARQ process regardless of the value of the NDI.

2> if the uplink grant is for MAC entity's C-RNTI, and the identified HARQ process is configured for a configured uplink grant:

3> start or restart the *configuredGrantTimer* for the correponding HARQ process, if configured.

2> deliver the uplink grant and the associated HARQ information to the HARQ entity.

1> else if an uplink grant for this PDCCH occasion has been received for this Serving Cell on the PDCCH for the MAC entity's CS-RNTI:

2> if the NDI in the received HARQ information is 1:

3> consider the NDI for the corresponding HARQ process not to have been toggled;

3> start or restart the *configuredGrantTimer* for the corresponding HARQ process, if configured;

3> deliver the uplink grant and the associated HARQ information to the HARQ entity.

2> else if the NDI in the received HARQ information is 0:

3> if PDCCH contents indicate configured grant Type 2 deactivation:

4> trigger configured uplink grant confirmation.

3> else if PDCCH contents indicate configured grant Type 2 activation:

4> trigger configured uplink grant confirmation;

4> store the uplink grant for this Serving Cell and the associated HARQ information as configured uplink grant;

4> initialise or re-initialise the configured uplink grant for this Serving Cell to start in the associated PUSCH duration and to recur according to rules in clause 5.8.2;

4> stop the *configuredGrantTimer* for the corresponding HARQ process, if running;

For each Serving Cell and each configured uplink grant, if configured and activated, the MAC entity shall:

1> if the PUSCH duration of the configured uplink grant does not overlap with the PUSCH duration of an uplink grant received on the PDCCH or in a Random Access Response for this Serving Cell:

2> set the HARQ Process ID to the HARQ Process ID associated with this PUSCH duration;

2> if the *configuredGrantTimer* for the corresponding HARQ process is not running:

3> consider the NDI bit for the corresponding HARQ process to have been toggled;

3> deliver the configured uplink grant and the associated HARQ information to the HARQ entity.

For configured uplink grants, the HARQ Process ID associated with the first symbol of a UL transmission is derived from the following equation:

HARQ Process ID = [floor(CURRENT\_symbol/*periodicity*)] modulo *nrofHARQ-Processes*

where CURRENT\_symbol = (SFN × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot* + slot number in the frame × *numberOfSymbolsPerSlot* + symbol number in the slot), and *numberOfSlotsPerFrame* and *numberOfSymbolsPerSlot* refer to the number of consecutive slots per frame and the number of consecutive symbols per slot, respectively as specified in TS 38.211 [8].

NOTE 1: CURRENT\_symbol refers to the symbol index of the first transmission occasion of a bundle of configured uplink grant.

NOTE 2: A HARQ process is configured for a configured uplink grant if the configured uplink grant is activated and the associated HARQ process ID is less than *nrofHARQ-Processes*.

NOTE 3: If the MAC entity receives both a grant in a Random Access Response and an overlapping grant for its C-RNTI or CS-RNTI, requiring concurrent transmissions on the SpCell, the MAC entity may choose to continue with either the grant for its RA-RNTI or the grant for its C-RNTI or CS-RNTI.

### 5.4.2 HARQ operation

#### 5.4.2.1 HARQ Entity

The MAC entity includes a HARQ entity for each Serving Cell with configured uplink (including the case when it is configured with *supplementaryUplink*), which maintains a number of parallel HARQ processes.

The number of parallel UL HARQ processes per HARQ entity is specified in TS 38.214 [7].

Each HARQ process supports one TB.

Each HARQ process is associated with a HARQ process identifier. For UL transmission with UL grant in RA Response, HARQ process identifier 0 is used.

For dynamic grant, when the MAC entity is configured with *pusch-AggregationFactor* > 1, the parameter *pusch-AggregationFactor* provides the number of transmissions of a TB within a bundle. If the MAC entity is configured with *pusch-AggregationFactor* > 1, and the initial transmission is performed within a bundle, at most *pusch-AggregationFactor* – 1 HARQ retransmissions follow within the bundle after the initial transmission. If the MAC entity is configured with *pusch-AggregationFactor* > 1, and the entire bundle is used for HARQ retransmissions (i.e. a bundle of dynamic UL grants for retransmission), *pusch-AggregationFactor* HARQ retransmissions are performed within the bundle.

For configured grant, when the MAC entity is configured with *repK* > 1, the parameter *repK* provides the number of transmissions of a TB within a bundle. After the initial transmission, HARQ retransmissions follow within a bundle.

For both dynamic grant and configured uplink grant, bundling operation relies on the HARQ entity for invoking the same HARQ process for each transmission that is part of the same bundle:

- Within a bundle, HARQ retransmissions are triggered without waiting for feedback from previous transmission according to *pusch-AggregationFactor* for a dynamic grant and *repK* for a configured uplink grant, respectively; and

- Each transmission within a bundle is a separate uplink grant (when the first uplink grant within a bundle is delivered to the HARQ entity, all the subsequent uplink grants within the bundle for HARQ retransmissions are delivered to the HARQ entity).

For each transmission within a bundle of the dynamic grant, the sequence of redundancy versions is determined according to clause 6.1.2.1 of TS 38.214 [7]. For each transmission within a bundle of the configured uplink grant, the sequence of redundancy versions is determined according to clause 6.1.2.3 of TS 38.214 [7].

For each uplink grant, the HARQ entity shall:

1> identify the HARQ process associated with this grant, and for each identified HARQ process:

2> if the received grant was not addressed to a Temporary C-RNTI on PDCCH, and the NDI provided in the associated HARQ information has been toggled compared to the value in the previous transmission of this TB of this HARQ process; or

2> if the uplink grant was received on PDCCH for the C-RNTI and the HARQ buffer of the identified process is empty; or

2> if the uplink grant was received in a Random Access Response; or

2> if the uplink grant was received on PDCCH for the C-RNTI in *ra-ResponseWindow* and this PDCCH successfully completed the Random Access procedure initiated for beam failure recovery; or

2> if the uplink grant is part of a bundle of the configured uplink grant, and may be used for initial transmission according to clause 6.1.2.3 of TS 38.214 [7], and if no MAC PDU has been obtained for this bundle:

3> if there is a MAC PDU in the Msg3 buffer and the uplink grant was received in a Random Access Response; or:

3> if there is a MAC PDU in the Msg3 buffer and the uplink grant was received on PDCCH for the C-RNTI in *ra-ResponseWindow* and this PDCCH successfully completed the Random Access procedure initiated for beam failure recovery:

4> obtain the MAC PDU to transmit from the Msg3 buffer.

4> if the uplink grant size does not match with size of the obtained MAC PDU; and

4> if the Random Access procedure was successfully completed upon receiving the uplink grant:

5> indicate to the Multiplexing and assembly entity to include MAC subPDU(s) carrying MAC SDU from the obtained MAC PDU in the subsequent uplink transmission;

5> obtain the MAC PDU to transmit from the Multiplexing and assembly entity.

3> else:

4> obtain the MAC PDU to transmit from the Multiplexing and assembly entity, if any;

3> if a MAC PDU to transmit has been obtained:

4> deliver the MAC PDU and the uplink grant and the HARQ information of the TB to the identified HARQ process;

4> instruct the identified HARQ process to trigger a new transmission;

4> if the uplink grant is addressed to CS-RNTI; or

4> if the uplink grant is a configured uplink grant; or

4> if the uplink grant is addressed to C-RNTI, and the identified HARQ process is configured for a configured uplink grant:

5> start or restart the *configuredGrantTimer*, if configured, for the corresponding HARQ process when the transmission is performed.

3> else:

4> flush the HARQ buffer of the identified HARQ process.

2> else (i.e. retransmission):

3> if the uplink grant received on PDCCH was addressed to CS-RNTI and if the HARQ buffer of the identified process is empty; or

3> if the uplink grant is part of a bundle and if no MAC PDU has been obtained for this bundle; or

3> if the uplink grant is part of a bundle of the configured uplink grant, and the PUSCH duration of the uplink grant overlaps with a PUSCH duration of another uplink grant received on the PDCCH or in a Random Access Response for this Serving Cell:

4> ignore the uplink grant.

3> else:

4> deliver the uplink grant and the HARQ information (redundancy version) of the TB to the identified HARQ process;

4> instruct the identified HARQ process to trigger a retransmission;

4> if the uplink grant is addressed to CS-RNTI; or

4> if the uplink grant is addressed to C-RNTI, and the identified HARQ process is configured for a configured uplink grant:

5> start or restart the *configuredGrantTimer*, if configured, for the corresponding HARQ process when the transmission is performed.

When determining if NDI has been toggled compared to the value in the previous transmission the MAC entity shall ignore NDI received in all uplink grants on PDCCH for its Temporary C-RNTI.

Next change

## 5.7 Discontinuous Reception (DRX)

The MAC entity may be configured by RRC with a DRX functionality that controls the UE's PDCCH monitoring activity for the MAC entity's C-RNTI, CS-RNTI, INT-RNTI, SFI-RNTI, SP-CSI-RNTI, TPC-PUCCH-RNTI, TPC-PUSCH-RNTI, and TPC-SRS-RNTI. When using DRX operation, the MAC entity shall also monitor PDCCH according to requirements found in other clauses of this specification. When in RRC\_CONNECTED, if DRX is configured, for all the activated Serving Cells, the MAC entity may monitor the PDCCH discontinuously using the DRX operation specified in this clause; otherwise the MAC entity shall monitor the PDCCH as specified in TS 38.213 [6].

RRC controls DRX operation by configuring the following parameters:

- *drx-onDurationTimer*: the duration at the beginning of a DRX Cycle;

- *drx-SlotOffset*: the delay before starting the *drx-onDurationTimer*;

- *drx-InactivityTimer*: the duration after the PDCCH occasion in which a PDCCH indicates a new UL or DL transmission for the MAC entity;

- *drx-RetransmissionTimerDL* (per DL HARQ process except for the broadcast process): the maximum duration until a DL retransmission is received;

- *drx-RetransmissionTimerUL* (per UL HARQ process): the maximum duration until a grant for UL retransmission is received;

- *drx-LongCycleStartOffset*: the Long DRX cycle and *drx-StartOffset* which defines the subframe where the Long and Short DRX Cycle starts;

- *drx-ShortCycle* (optional): the Short DRX cycle;

- *drx-ShortCycleTimer* (optional): the duration the UE shall follow the Short DRX cycle;

- *drx-HARQ-RTT-TimerDL* (per DL HARQ process except for the broadcast process): the minimum duration before a DL assignment for HARQ retransmission is expected by the MAC entity;

- *drx-HARQ-RTT-TimerUL* (per UL HARQ process): the minimum duration before a UL HARQ retransmission grant is expected by the MAC entity.

When a DRX cycle is configured, the Active Time includes the time while:

- *drx-onDurationTimer* or *drx-InactivityTimer* or *drx-RetransmissionTimerDL* or *drx-RetransmissionTimerUL* or *ra-ContentionResolutionTimer* (as described in clause 5.1.5) is running; or

- a Scheduling Request is sent on PUCCH and is pending (as described in clause 5.4.4); or

- a PDCCH indicating a new transmission addressed to the C-RNTI of the MAC entity has not been received after successful reception of a Random Access Response for the Random Access Preamble not selected by the MAC entity among the contention-based Random Access Preamble (as described in clause 5.1.4).

When DRX is configured, the MAC entity shall:

1> if a MAC PDU is received in a configured downlink assignment:

2> start the *drx-HARQ-RTT-TimerDL* for the corresponding HARQ process in the first symbol after the end of the corresponding transmission carrying the DL HARQ feedback;

2> stop the *drx-RetransmissionTimerDL* for the corresponding HARQ process.

1> if a MAC PDU is transmitted in a configured uplink grant:

2> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first transmission (within a bundle) of the corresponding PUSCH transmission;

2> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process.

1> if a *drx-HARQ-RTT-TimerDL* expires:

2> if the data of the corresponding HARQ process was not successfully decoded:

3> start the *drx-RetransmissionTimerDL* for the corresponding HARQ process in the first symbol after the expiry of *drx-HARQ-RTT-TimerDL*.

1> if a *drx-HARQ-RTT-TimerUL* expires:

2> start the *drx-RetransmissionTimerUL* for the corresponding HARQ process in the first symbol after the expiry of *drx-HARQ-RTT-TimerUL*.

1> if a DRX Command MAC CE or a Long DRX Command MAC CE is received:

2> stop *drx-onDurationTimer*;

2> stop *drx-InactivityTimer*.

1> if *drx-InactivityTimer* expires or a DRX Command MAC CE is received:

2> if the Short DRX cycle is configured:

3> start or restart *drx-ShortCycleTimer* in the first symbol after the expiry of *drx-InactivityTimer* or in the first symbol after the end of DRX Command MAC CE reception;

3> use the Short DRX Cycle.

2> else:

3> use the Long DRX cycle.

1> if *drx-ShortCycleTimer* expires:

2> use the Long DRX cycle.

1> if a Long DRX Command MAC CE is received:

2> stop *drx-ShortCycleTimer*;

2> use the Long DRX cycle.

1> if the Short DRX Cycle is used, and [(SFN × 10) + subframe number] modulo (*drx-ShortCycle*) = (*drx-StartOffset*) modulo (*drx-ShortCycle*); or

1> if the Long DRX Cycle is used, and [(SFN × 10) + subframe number] modulo (*drx-LongCycle*) = *drx-StartOffset*:

2> start *drx-onDurationTimer* after *drx-SlotOffset* from the beginning of the subframe.

1> if the MAC entity is in Active Time:

2> monitor the PDCCH as specified in TS 38.213 [6];

2> if the PDCCH indicates a DL transmission:

3> start the *drx-HARQ-RTT-TimerDL* for the corresponding HARQ process in the first symbol after the end of the corresponding transmission carrying the DL HARQ feedback;

3> stop the *drx-RetransmissionTimerDL* for the corresponding HARQ process.

2> if the PDCCH indicates a UL transmission:

3> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first transmission (within a bundle) of the corresponding PUSCH transmission;

3> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process.

2> if the PDCCH indicates a new transmission (DL or UL):

3> start or restart *drx-InactivityTimer* in the first symbol after the end of the PDCCH reception.

1> in current symbol n, if the MAC entity would not be in Active Time considering grants/assignments/DRX Command MAC CE/Long DRX Command MAC CE received and Scheduling Request sent until 4 ms prior to symbol n when evaluating all DRX Active Time conditions as specified in this clause:

2> not transmit periodic SRS and semi-persistent SRS defined in TS 38.214 [7];

2> not report CSI on PUCCH and semi-persistent CSI configured on PUSCH.

1> if CSI masking (*csi-Mask*) is setup by upper layers:

2> in current symbol n, if *drx-onDurationTimer* would not be running considering grants/assignments/DRX Command MAC CE/Long DRX Command MAC CE received until 4 ms prior to symbol n when evaluating all DRX Active Time conditions as specified in this clause:

3> not report CSI on PUCCH.

NOTE: If a UE multiplexes a CSI configured on PUCCH with other overlapping UCI(s) according to the procedure specified in TS 38.213 [6] clause 9.2.5 and this CSI multiplexed with other UCI(s) would be reported on a PUCCH resource outside DRX Active Time, it is up to UE implementation whether to report this CSI multiplexed with other UCI(s).

Regardless of whether the MAC entity is monitoring PDCCH or not, the MAC entity transmits HARQ feedback, aperiodic CSI on PUSCH, and aperiodic SRS defined in TS 38.214 [7] when such is expected.

The MAC entity needs not to monitor the PDCCH if it is not a complete PDCCH occasion (e.g. the Active Time starts or ends in the middle of a PDCCH occasion).

Next change

## 5.12 MAC Reset

If a reset of the MAC entity is requested by upper layers, the MAC entity shall:

1> initialize *Bj* for each logical channel to zero;

1> stop (if running) all timers;

1> consider all *timeAlignmentTimer*s as expired and perform the corresponding actions in clause 5.2;

1> set the NDIs for all uplink HARQ processes to the value 0;

1> stop, if any, ongoing Random Access procedure;

1> discard explicitly signalled contention-free Random Access Resources, if any;

1> flush Msg3 buffer;

1> cancel, if any, triggered Scheduling Request procedure;

1> cancel, if any, triggered Buffer Status Reporting procedure;

1> cancel, if any, triggered Power Headroom Reporting procedure;

1> flush the soft buffers for all DL HARQ processes;

1> for each DL HARQ process, consider the next received transmission for a TB as the very first transmission;

1> release, if any, Temporary C-RNTI;

1> reset *BFI\_COUNTER*.