**3GPP TSG-RAN WG2 Meeting #109 electronic R2-20xxxxx**

**24 Feb – 6 Mar 2020 revison of R2-2000320**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | 38.321 | **CR** |  0685 | **rev** | 1 | **Current version:** | 15.8.0 |  |
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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:***  | Introduction of dormant BWP operation |
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| ***Source to WG:*** | OPPO |
| ***Source to TSG:*** | R2 |
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| ***Work item code:*** | LTE\_NR\_DC\_CA\_enh-Core |  | ***Date:*** | 2020-01-24 |
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| ***Category:*** |  |  | ***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 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:*** | To enable the fast SCell activation, the dormant BWP and related opertaion is introduced in R16 in CA/DC enhacment work item.In RAN2#105 meeting, RAN2 agreed:1. The configured SCells (MCG and SCG) can be configured in deactivated or activated state by RRC upon addition or after a handover. Timing requirements are up to RAN4. FFS if this applies to resume

In RAN2#109e meeting, RAN2 agreed:1. The network will explicitly configure the dormant BWP associated with one BWP id by RRC in downlinkBWP-ToAddModList and explicitly indicate the dormant BWP in ServingCellConfig (similar to first active downlink BWP and default downlink BWP).
2. Legacy SCell A/D MAC CE can be used to transit a SCell from activated state to deactivated state, no matter whether the SCell is in dormant BWP or not.
3. Legacy SCell A/D MAC CE can be used to transit a SCell from deactivated state to activated state, the BWP with firstActiveDownlinkBWP-Id is activated like legacy
4. No impact on the behaviour of sCellDeactivationTimer due to dormancy behaviour.
5. bwp-InactivityTimer should stop if running when UE enters dormant BWP.
6. Timer-based transition between non-dormancy and dormancy is NOT supported (i.e. no new timer or timer behaivour is introduced).
7. Rel-15 legacy behaviour of TA maintenance will be applied for dormancy Scell (i.e. no spec impact)
8. SRS transmission (including aperiodic SRS, semi-periodic SRS and periodic SRS) is not supported in case the the DL BWP is switched to dormant BWP. This point will be included in the RAN1 LS to allow issues checking.
9. The UE should stop all the UL behavior in case the DL BWP is switched to dormant BWP, i.e. stop any UL transmission, suspend any configured uplink grant Type 1, clear any configured uplink grant of configured grant Type 2 in the dormancy SCell. This point will be included in the RAN1 LS to allow issues checking.
10. No UL dormant BWP is defined, and the UL behaviour is specified in TS38.321 in case the DL BWP is switched to dormant BWP.
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| ***Summary of change:*** | 1. Add the scell activated state can be configured by RRC directly.
2. Add dormant BWP and related opertaion.
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| ***Consequences if not approved:*** | the dormant BWP and related opertaion are missing in TS38.321. |
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| ***Clauses affected:*** | 3.1, 5.9, 5.15, 6.1.3.10 |
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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:*** |  |
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| ***This CR's revision history:*** |  |

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## 3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [1].

**Dormant BWP:** The dormant BWP is one of BWPs configured by netowork via dedicated RRC signalling. For the dormant BWP, the UE does not need to receive the corresponding PDCCH or PDSCH, but CQI measurements and beam management are required.

**HARQ information:** HARQ information for DL-SCH or for UL-SCH transmissions consists of New Data Indicator (NDI), Transport Block size (TBS), Redundancy Version (RV), and HARQ process ID.

**Msg3**: Message transmitted on UL-SCH containing a C-RNTI MAC CE or CCCH SDU, submitted from upper layer and associated with the UE Contention Resolution Identity, as part of a Random Access procedure.

**PDCCH occasion**: A time duration (i.e. one or a consecutive number of symbols) during which the MAC entity is configured to monitor the PDCCH.

**Serving Cell:** A PCell, a PSCell, or an SCell in TS 38.331 [5].

**Special Cell:** For Dual Connectivity operation the term Special Cell refers to the PCell of the MCG or the PSCell of the SCG depending on if the MAC entity is associated to the MCG or the SCG, respectively. Otherwise the term Special Cell refers to the PCell. A Special Cell supports PUCCH transmission and contention-based Random Access, and is always activated.

**Timing Advance Group:** A group of Serving Cells that is configured by RRC and that, for the cells with a UL configured, using the same timing reference cell and the same Timing Advance value. A Timing Advance Group containing the SpCell of a MAC entity is referred to as Primary Timing Advance Group (PTAG), whereas the term Secondary Timing Advance Group (STAG) refers to other TAGs.

NOTE: A timer is running once it is started, until it is stopped or until it expires; otherwise it is not running. A timer can be started if it is not running or restarted if it is running. A Timer is always started or restarted from its initial value. The duration of a timer is not updated until they are stopped or expires (e.g. due to BWP switching).

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## 5.9 Activation/Deactivation of SCells

If the MAC entity is configured with one or more SCells, the network may activate and deactivate the configured SCells. Upon configuration of an SCell, the SCell is deactivated unless the parameter *sCellState* is set to *activated* for the SCell within *RRCReconfiguration* message.

The configured SCell(s) is activated and deactivated by:

- receiving the SCell Activation/Deactivation MAC CE described in clause 6.1.3.10;

- configuring *sCellDeactivationTimer* timer per configured SCell (except the SCell configured with PUCCH, if any): the associated SCell is deactivated upon its expiry.

The MAC entity shall for each configured SCell:

1> if an SCell is configured with an activated SCell upon SCell configuration or an SCell Activation/Deactivation MAC CE is received activating the SCell:

2> activate the SCell according to the timing defined in TS 38.213 [6]; i.e. apply normal SCell operation including:

3> SRS transmissions on the SCell;

3> CSI reporting for the SCell;

3> PDCCH monitoring on the SCell;

3> PDCCH monitoring for the SCell;

3> PUCCH transmissions on the SCell, if configured.

2> if the SCell was deactivated prior to receiving this SCell Activation/Deactivation MAC CE:

3> activate the DL BWP and UL BWP indicated by *firstActiveDownlinkBWP-Id* and *firstActiveUplinkBWP-Id* respectively;

2> start or restart the *sCellDeactivationTimer* associated with the SCell according to the timing defined in TS 38.213 [6];

2> (re-)initialize any suspended configured uplink grants of configured grant Type 1 associated with this SCell according to the stored configuration, if any, and to start in the symbol according to rules in clause 5.8.2;

2> trigger PHR according to clause 5.4.6.

1> else if an SCell Activation/Deactivation MAC CE is received deactivating the SCell; or

1> if the *sCellDeactivationTimer* associated with the activated SCell expires:

2> deactivate the SCell according to the timing defined in TS 38.213 [6];

2> stop the *sCellDeactivationTimer* associated with the SCell;

2> stop the *bwp-InactivityTimer* associated with the SCell;

2> deactivate any active BWP associated with the SCell;

2> clear any configured downlink assignment and any configured uplink grant Type 2 associated with the SCell respectively;

2> clear any PUSCH resource for semi-persistent CSI reporting associated with the SCell;

2> suspend any configured uplink grant Type 1 associated with the SCell;

2> flush all HARQ buffers associated with the SCell.

1> if PDCCH on the activated SCell indicates an uplink grant or downlink assignment; or

1> if PDCCH on the Serving Cell scheduling the activated SCell indicates an uplink grant or a downlink assignment for the activated SCell; or

1> if a MAC PDU is transmitted in a configured uplink grant or received in a configured downlink assignment:

2> restart the *sCellDeactivationTimer* associated with the SCell.

1> if the SCell is deactivated:

2> not transmit SRS on the SCell;

2> not report CSI for the SCell;

2> not transmit on UL-SCH on the SCell;

2> not transmit on RACH on the SCell;

2> not monitor the PDCCH on the SCell;

2> not monitor the PDCCH for the SCell;

2> not transmit PUCCH on the SCell.

HARQ feedback for the MAC PDU containing SCell Activation/Deactivation MAC CE shall not be impacted by PCell, PSCell and PUCCH SCell interruptions due to SCell activation/deactivation in TS 38.133 [11].

When SCell is deactivated, the ongoing Random Access procedure on the SCell, if any, is aborted.

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## 5.15 Bandwidth Part (BWP) operation

In addition to clause 12 of TS 38.213 [6], this clause specifies requirements on BWP operation.

A Serving Cell may be configured with one or multiple BWPs, and the maximum number of BWP per Serving Cell is specified in TS 38.213 [6].

The BWP switching for a Serving Cell is used to activate an inactive BWP and deactivate an active BWP at a time. The BWP switching is controlled by the PDCCH indicating a downlink assignment or an uplink grant, by the *bwp-InactivityTimer*, by RRC signalling, or by the MAC entity itself upon initiation of Random Access procedure. Upon RRC (re-)configuration of *firstActiveDownlinkBWP-Id* and/or *firstActiveUplinkBWP-Id* for SpCell or activation of an SCell, the DL BWP and/or UL BWP indicated by *firstActiveDownlinkBWP-Id* and/or *firstActiveUplinkBWP-Id* respectively (as specified in TS 38.331 [5]) is active without receiving PDCCH indicating a downlink assignment or an uplink grant. The active BWP for a Serving Cell is indicated by either RRC or PDCCH (as specified in TS 38.213 [6]). For unpaired spectrum, a DL BWP is paired with a UL BWP, and BWP switching is common for both UL and DL.

The BWP switching for a SCell group(s) or a SCell(s) is used to activate a dormant BWP and deactivate an active BWP for one SCell group or one SCell at a time. The BWP switching for a SCell group(s) or a SCell(s) is controlled by the PDCCH as specified in TS 38.212 [9] to indicate one group of SCell or one SCell entering or leavinge dormant BWP. The SCell group configuration and dormant BWP configuration for one SCell are configured by RRC signallilng described in TS 38.331 [5]. Upon receivinge the PDCCH indicating leaving dormant BWP, the DL BWP indicated by *firstOutsideActiveTimeBWP-Id* (as specified in TS 38.331 [5]) is activated by DCP. Otherwise *firstWithinActiveTimeBWP-Id* (as specified in TS 38.331 [5]) is activated. Upon receivinge the PDCCH indicating entering dormant BWP, the DL BWP indicated by *dormantDownlinkBWP-Id* (as specified in TS 38.331 [5]) is activated. The dormant BWP configuration for SpCell and PUCCH SCcell are not supported.

For each activated Serving Cell configured with a BWP, the MAC entity shall:

1> if a BWP is activated and it is not the dormant BWP:

2> transmit on UL-SCH on the BWP;

2> transmit on RACH on the BWP, if PRACH occasions are configured;

2> monitor the PDCCH on the BWP;

2> transmit PUCCH on the BWP, if configured;

2> report CSI for the BWP;

2> transmit SRS on the BWP, if configured;

2> receive DL-SCH on the BWP;

2> (re-)initialize any suspended configured uplink grants of configured grant Type 1 on the active BWP according to the stored configuration, if any, and to start in the symbol according to rules in clause 5.8.2.

1> if a BWP is activated and it is dormant BWP for a SCell:

2> stop the *bwp-InactivityTimer* of this Serving Cell, if running.

2> not monitor the PDCCH on the BWP;

2> not monitor the PDCCH for the BWP;

2> not receive DL-SCH on the BWP;

2> perfrom CSI measurement for the BWP;

2> stop all the UL behavior, i.e. stop any UL transmission, suspend any configured uplink grant Type 1 associated with the SCell, clear any configured uplink grant of configured grant Type 2 associated with the SCell;2> FFS: perform beam failure recovery for the SCell if beam failure is detected;

1> if a BWP is deactivated:

2> not transmit on UL-SCH on the BWP;

2> not transmit on RACH on the BWP;

2> not monitor the PDCCH on the BWP;

2> not transmit PUCCH on the BWP;

2> not report CSI for the BWP;

2> not transmit SRS on the BWP;

2> not receive DL-SCH on the BWP;

2> clear any configured downlink assignment and configured uplink grant of configured grant Type 2 on the BWP;

2> suspend any configured uplink grant of configured grant Type 1 on the inactive BWP.

Upon initiation of the Random Access procedure on a Serving Cell, after the selection of carrier for performing Random Access procedure as specified in clause 5.1.1, the MAC entity shall for the selected carrier of this Serving Cell:

1> if PRACH occasions are not configured for the active UL BWP:

2> switch the active UL BWP to BWP indicated by *initialUplinkBWP*;

2> if the Serving Cell is an SpCell:

3> switch the active DL BWP to BWP indicated by *initialDownlinkBWP*.

1> else:

2> if the Serving Cell is an SpCell:

3> if the active DL BWP does not have the same *bwp-Id* as the active UL BWP:

4> switch the active DL BWP to the DL BWP with the same *bwp-Id* as the active UL BWP.

1> stop the *bwp-InactivityTimer* associated with the active DL BWP of this Serving Cell, if running.

1> if the Serving Cell is SCell:

2> stop the *bwp-InactivityTimer* associated with the active DL BWP of SpCell, if running.

1> perform the Random Access procedure on the active DL BWP of SpCell and active UL BWP of this Serving Cell.

If the MAC entity receives a PDCCH for BWP switching of a Serving Cell, the MAC entity shall:

1> if there is no ongoing Random Access procedure associated with this Serving Cell; or

1> if the ongoing Random Access procedure associated with this Serving Cell is successfully completed upon reception of this PDCCH addressed to C-RNTI (as specified in clauses 5.1.4 and 5.1.5):

2> perform BWP switching to a BWP indicated by the PDCCH.

If the MAC entity receives a PDCCH for BWP switching for a Serving Cell(s) or a SCell group(s) while a Random Access procedure associated with that Serving Cell is ongoing in the MAC entity, it is up to UE implementation whether to switch BWP or ignore the PDCCH for BWP switching, except for the PDCCH reception for BWP switching addressed to the C-RNTI for successful Random Access procedure completion (as specified in clauses 5.1.4 and 5.1.5) in which case the UE shall perform BWP switching to a BWP indicated by the PDCCH. Upon reception of the PDCCH for BWP switching other than successful contention resolution, if the MAC entity decides to perform BWP switching, the MAC entity shall stop the ongoing Random Access procedure and initiate a Random Access procedure after performing the BWP switching; if the MAC decides to ignore the PDCCH for BWP switching, the MAC entity shall continue with the ongoing Random Access procedure on the Serving Cell.

Upon reception of RRC (re-)configuration for BWP switching for a Serving Cell while a Random Access procedure associated with that Serving Cell is ongoing in the MAC entity, the MAC entity shall stop the ongoing Random Access procedure and initiate a Random Access procedure after performing the BWP switching.

The MAC entity shall for each activated Serving Cell configured with *bwp-InactivityTimer*:

1> if the *defaultDownlinkBWP-Id* is configured, and the active DL BWP is not the BWP indicated by the *defaultDownlinkBWP-Id*; or

1> if the *defaultDownlinkBWP-Id* is not configured, and the active DL BWP is not the *initialDownlinkBWP*; or

1> if the active DL BWP is not indicated by the *dormantDownlinkBWP-Id* if configured:

2> if a PDCCH addressed to C-RNTI or CS-RNTI indicating downlink assignment or uplink grant is received on the active BWP; or

2> if a PDCCH addressed to C-RNTI or CS-RNTI indicating downlink assignment or uplink grant is received for the active BWP; or

2> if a MAC PDU is transmitted in a configured uplink grant or received in a configured downlink assignment:

3> if there is no ongoing Random Access procedure associated with this Serving Cell; or

3> if the ongoing Random Access procedure associated with this Serving Cell is successfully completed upon reception of this PDCCH addressed to C-RNTI (as specified in clauses 5.1.4 and 5.1.5):

4> start or restart the *bwp-InactivityTimer* associated with the active DL BWP.

2> if the *bwp-InactivityTimer* associated with the active DL BWP expires:

3> if the *defaultDownlinkBWP-Id* is configured:

4> perform BWP switching to a BWP indicated by the *defaultDownlinkBWP-Id*.

3> else:

4> perform BWP switching to the *initialDownlinkBWP*.

NOTE: If a Random Access procedure is initiated on an SCell, both this SCell and the SpCell are associated with this Random Access procedure.

1> if a PDCCH for BWP switching is received, and the MAC entity switches the active DL BWP:

2> if the *defaultDownlinkBWP-Id* is configured, and the MAC entity switches to the DL BWP which is not indicated by the *defaultDownlinkBWP-Id*; or

2> if the *defaultDownlinkBWP-Id* is not configured, and the MAC entity switches to the DL BWP which is not the *initialDownlinkBWP*; or

2> if the MAC entity switches to the DL BWP which is not indicated by the *dormantDownlinkBWP-Id* if configured:

3> start or restart the *bwp-InactivityTimer* associated with the active DL BWP.

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#### 6.1.3.10 SCell Activation/Deactivation MAC CEs

The SCell Activation/Deactivation MAC CE of one octet is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size and consists of a single octet containing seven C-fields and one R-field. The SCell Activation/Deactivation MAC CE with one octet is defined as follows (Figure 6.1.3.10-1).

The SCell Activation/Deactivation MAC CE of four octets is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size and consists of four octets containing 31 C-fields and one R-field. The SCell Activation/Deactivation MAC CE of four octets is defined as follows (Figure 6.1.3.10-2).

- Ci: If there is an SCell configured for the MAC entity with *SCellIndex* i as specified in TS 38.331 [5], this field indicates the activation/deactivation status of the SCell with *SCellIndex* i, else the MAC entity shall ignore the Ci field. The Ci field is set to 1 to indicate that the SCell with *SCellIndex* i shall be activated with active BWP indicated by *firstActiveDownlinkBWP-Id* and *firstActiveUplinkBWP-Id* respectively. The Ci field is set to 0 to indicate that the SCell with *SCellIndex* i shall be deactivated;

- R: Reserved bit, set to 0.



Figure 6.1.3.10-1: SCell Activation/Deactivation MAC CE of one octet



Figure 6.1.3.10-2: SCell Activation/Deactivation MAC CE of four octets

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