**3GPP TSG-RAN2 #109e R2-** **20xxxxx**

**Electronic meeting, 24th February to 6th March 2020**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.321** | **CR** | **0694** | **rev** | **1** | **Current version:** | **15.8.0** |  |
|  | | | | | | | | |
| *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)*.* | | | | | | | | |
|  | | | | | | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Proposed change affects:*** | UICC apps |  | ME | **x** | Radio Access Network | **x** | Core Network |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| ***Title:*** | Running MAC CR for NR-U | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Ericsson | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_unlic-Core | | | | |  | ***Date:*** | | | 2020-03-05 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **B** |  | | | | | ***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:*** | | Based on R2-2001341, uplifted to v15.8.0.  . | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | See appendix for a list of implemented agreements | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 2, 3.1, 3.2, 5.1.2, 5.1.3, 5.1.5, 5.4.1, 5.4.2.1, 5.4.2.2, 5.4.3.1.3, 5.4.3.2, 5.4.4, 5.4.5, 5.4.6, 5.7, 5.8.2, 5.9, 5.11, 5.12, 5.15, 5.19, 5.X (new), 6.1.3.XX (new), 6.2.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS 38.300, TS 38.304, TS 38.321, TS 37.213, TS 37.340, TS 38.211, TS 38.212, TS 38.213, TS 38.214, TS 38.215 | | |
| ***affected:*** | |  | **x** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | | As we expect changes to many parts of the MAC spec, this running CR contains all sections from the MAC spec. The unaffected sections will be removed at the end of the work item. | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

Start of changes

# 1 Scope

The present document specifies the NR MAC protocol.

# 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non‑specific.

- For a specific reference, subsequent revisions do not apply.

- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

[1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".

[2] 3GPP TS 38.300: "NR; Overall description; Stage 2".

[3] 3GPP TS 38.322: "NR; Radio Link Control (RLC) protocol specification".

[4] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) protocol specification".

[5] 3GPP TS 38.331: "NR; Radio Resource Control (RRC); Protocol specification".

[6] 3GPP TS 38.213: "NR; Physical Layer Procedures for control".

[7] 3GPP TS 38.214: "NR; Physical Layer Procedures for data".

[8] 3GPP TS 38.211: "NR; Physical channels and modulation".

[9] 3GPP TS 38.212: "NR; Multiplexing and channel coding".

[10] Void.

[11] 3GPP TS 38.133: "NR; Requirements for support of radio resource management".

[12] 3GPP TS 36.133: "Evolved Universal Terrestrial Radio Access (E-UTRA); Requirements for support of radio resource management".

[13] 3GPP TS 26.114: "Technical Specification Group Services and System Aspects; IP Multimedia Subsystem (IMS); Multimedia Telephony; Media handling and interaction".

[14] 3GPP TS 38.101-1: "NR; User Equipment (UE) radio transmission and reception; Part 1: Range 1 Standalone".

[15] 3GPP TS 38.101-2: "NR; User Equipment (UE) radio transmission and reception; Part 2: Range 2 Standalone".

[16] 3GPP TS 38.101-3: "NR; User Equipment (UE) radio transmission and reception; Part 3: Range 1 and Range 2 Interworking operation with other radios".

[17] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Layer Procedures".

[XX] 3GPP TS 37.213: "Physical layer procedures for shared spectrum channel access".

# 3 Definitions, symbols and abbreviations

## 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].

**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.

**Listen Before Talk**: A procedure according to which transmissions are not performed if the channel is identified as being occupied, see TS 37.213 [XX].

**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).

## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

BSR Buffer Status Report

BWP Bandwidth Part

CE Control Element

CSI Channel State Information

CSI-IM CSI Intereference Measurement

CSI-RS CSI Reference Signal

CS-RNTI Configured Scheduling RNTI

INT-RNTI Interruption RNTI

LBT Listen Before Talk

LCG Logical Channel Group

LCP Logical Channel Prioritization

MCG Master Cell Group

NUL Normal Uplink

NZP CSI-RS Non-Zero Power CSI-RS

PHR Power Headroom Report

PTAG Primary Timing Advance Group

QCL Quasi-colocation

RS Reference Signal

SCG Secondary Cell Group

SFI-RNTI Slot Format Indication RNTI

SI System Information

SpCell Special Cell

SP Semi-Persistent

SP-CSI-RNTI Semi-Persistent CSI RNTI

SPS Semi-Persistent Scheduling

SR Scheduling Request

SS Synchronization Signals

SSB Synchronization Signal Block

STAG Secondary Timing Advance Group

SUL Supplementary Uplink

TAG Timing Advance Group

TCI Transmission Configuration Indicator

TPC-SRS-RNTI Transmit Power Control-Sounding Reference Symbols-RNTI

UCI Uplink Control Information

ZP CSI-RS Zero Power CSI-RS

# 4 General

## 4.1 Introduction

The objective of this clause is to describe the MAC architecture and the MAC entity of the UE from a functional point of view.

## 4.2 MAC architecture

### 4.2.1 General

This clause describes a model of the MAC i.e. it does not specify or restrict implementations.

RRC is in control of the MAC configuration.

### 4.2.2 MAC Entities

The MAC entity of the UE handles the following transport channels:

- Broadcast Channel (BCH);

- Downlink Shared Channel(s) (DL-SCH);

- Paging Channel (PCH);

- Uplink Shared Channel(s) (UL-SCH);

- Random Access Channel(s) (RACH).

When the UE is configured with SCG, two MAC entities are configured to the UE: one for the MCG and one for the SCG.

The functions of the different MAC entities in the UE operate independently unless otherwise specified. The timers and parameters used in each MAC entity are configured independently unless otherwise specified. The Serving Cells, C-RNTI, radio bearers, logical channels, upper and lower layer entities, LCGs, and HARQ entities considered by each MAC entity refer to those mapped to that MAC entity unless otherwise specified.

If the MAC entity is configured with one or more SCells, there are multiple DL-SCH and there may be multiple UL-SCH as well as multiple RACH per MAC entity; one DL-SCH, one UL-SCH, and one RACH on the SpCell, one DL-SCH, zero or one UL-SCH and zero or one RACH for each SCell.

If the MAC entity is not configured with any SCell, there is one DL-SCH, one UL-SCH, and one RACH per MAC entity.

Figure 4.2.2-1 illustrates one possible structure of the MAC entity when SCG is not configured.



Figure 4.2.2-1: MAC structure overview

Figure 4.2.2-2 illustrates one possible structure for the MAC entities when MCG and SCG are configured.



Figure 4.2.2-2: MAC structure overview with two MAC entities

## 4.3 Services

### 4.3.1 Services provided to upper layers

The MAC sublayer provides the following services to upper layers:

- data transfer;

- radio resource allocation.

### 4.3.2 Services expected from physical layer

The MAC sublayer expects the following services from the physical layer:

- data transfer services;

- signalling of HARQ feedback;

- signalling of Scheduling Request;

- measurements (e.g. Channel Quality Indication (CQI)).

## 4.4 Functions

The MAC sublayer supports the following functions:

- mapping between logical channels and transport channels;

- multiplexing of MAC SDUs from one or different logical channels onto transport blocks (TB) to be delivered to the physical layer on transport channels;

- demultiplexing of MAC SDUs to one or different logical channels from transport blocks (TB) delivered from the physical layer on transport channels;

- scheduling information reporting;

- error correction through HARQ;

- logical channel prioritisation.

The relevance of MAC functions for uplink and downlink is indicated in Table 4.4-1.

Table 4.4-1: The link direction association of MAC functions.

|  |  |  |
| --- | --- | --- |
| MAC function | Downlink | Uplink |
| Mapping between logical channels and transport channels | X | X |
| Multiplexing |  | X |
| Demultiplexing | X |  |
| Scheduling information reporting |  | X |
| Error correction through HARQ | X | X |
| Logical Channel prioritisation |  | X |

## 4.5 Channel structure

### 4.5.1 General

The MAC sublayer operates on the channels defined below; transport channels are SAPs between MAC and Layer 1, logical channels are SAPs between MAC and RLC.

### 4.5.2 Transport Channels

The MAC sublayer uses the transport channels listed in Table 4.5.2-1 below.

Table 4.5.2-1: Transport channels used by MAC

|  |  |  |  |
| --- | --- | --- | --- |
| Transport channel name | Acronym | Downlink | Uplink |
| Broadcast Channel | BCH | X |  |
| Downlink Shared Channel | DL-SCH | X |  |
| Paging Channel | PCH | X |  |
| Uplink Shared Channel | UL-SCH |  | X |
| Random Access Channel | RACH |  | X |

### 4.5.3 Logical Channels

The MAC sublayer provides data transfer services on logical channels. To accommodate different kinds of data transfer services, multiple types of logical channels are defined i.e. each supporting transfer of a particular type of information.

Each logical channel type is defined by what type of information is transferred.

The MAC sublayer provides the control and traffic channels listed in Table 4.5.3-1 below.

Table 4.5.3-1: Logical channels provided by MAC.

|  |  |  |  |
| --- | --- | --- | --- |
| Logical channel name | Acronym | Control channel | Traffic channel |
| Broadcast Control Channel | BCCH | X |  |
| Paging Control Channel | PCCH | X |  |
| Common Control Channel | CCCH | X |  |
| Dedicated Control Channel | DCCH | X |  |
| Dedicated Traffic Channel | DTCH |  | X |

### 4.5.4 Mapping of Transport Channels to Logical Channels

#### 4.5.4.1 General

Both for uplink and downlink, the MAC entity is responsible for mapping logical channels onto transport channels. This mapping depends on the multiplexing that is configured by RRC.

#### 4.5.4.2 Uplink mapping

The uplink logical channels can be mapped as described in Table 4.5.4.2-1.

Table 4.5.4.2-1: Uplink channel mapping.

|  |  |  |
| --- | --- | --- |
| Transport channel  Logical channel | UL-SCH | RACH |
| CCCH | X |  |
| DCCH | X |  |
| DTCH | X |  |

#### 4.5.4.3 Downlink mapping

The downlink logical channels can be mapped as described in Table 4.5.4.3-1.

Table 4.5.4.3-1: Downlink channel mapping.

|  |  |  |  |
| --- | --- | --- | --- |
| Transport channel  Logical channel | BCH | PCH | DL-SCH |
| BCCH | X |  | X |
| PCCH |  | X |  |
| CCCH |  |  | X |
| DCCH |  |  | X |
| DTCH |  |  | X |

# 5 MAC procedures

## 5.1 Random Access procedure

### 5.1.1 Random Access procedure initialization

The Random Access procedure described in this clause is initiated by a PDCCH order, by the MAC entity itself, or by RRC for the events in accordance with TS 38.300 [2]. There is only one Random Access procedure ongoing at any point in time in a MAC entity. The Random Access procedure on an SCell shall only be initiated by a PDCCH order with *ra-PreambleIndex* different from 0b000000.

NOTE 1: If a new Random Access procedure is triggered while another is already ongoing in the MAC entity, it is up to UE implementation whether to continue with the ongoing procedure or start with the new procedure (e.g. for SI request).

RRC configures the following parameters for the Random Access procedure:

- *prach-ConfigurationIndex*: the available set of PRACH occasions for the transmission of the Random Access Preamble;

- *preambleReceivedTargetPower*: initial Random Access Preamble power;

- *rsrp-ThresholdSSB*: an RSRP threshold for the selection of the SSB. If the Random Access procedure is initiated for beam failure recovery, *rsrp-ThresholdSSB* used for the selection of the SSB within *candidateBeamRSList* refers to *rsrp-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;

- *rsrp-ThresholdCSI-RS*: an RSRP threshold for the selection of CSI-RS. If the Random Access procedure is initiated for beam failure recovery, *rsrp-ThresholdCSI-RS* is equal to *rsrp-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;

- *rsrp-ThresholdSSB-SUL*: an RSRP threshold for the selection between the NUL carrier and the SUL carrier;

- *candidateBeamRSList*: a list of reference signals (CSI-RS and/or SSB) identifying the candidate beams for recovery and the associated Random Access parameters;

- *recoverySearchSpaceId*: the search space identity for monitoring the response of the beam failure recovery request;

- *powerRampingStep*: the power-ramping factor;

- *powerRampingStepHighPriority*: the power-ramping factor in case of prioritized Random Access procedure;

- *scalingFactorBI*: a scaling factor for prioritized Random Access procedure;

- *ra-PreambleIndex*: Random Access Preamble;

- *ra-ssb-OccasionMaskIndex*: defines PRACH occasion(s) associated with an SSB in which the MAC entity may transmit a Random Access Preamble (see clause 7.4);

- *ra-OccasionList*: defines PRACH occasion(s) associated with a CSI-RS in which the MAC entity may transmit a Random Access Preamble;

- *ra-PreambleStartIndex*: the starting index of Random Access Preamble(s) for on-demand SI request;

- *preambleTransMax*: the maximum number of Random Access Preamble transmission;

- *ssb-perRACH-OccasionAndCB-PreamblesPerSSB*: defines the number of SSBs mapped to each PRACH occasion and the number of contention-based Random Access Preambles mapped to each SSB;

- if *groupBconfigured* is configured, then Random Access Preambles group B is configured.

- Amongst the contention-based Random Access Preambles associated with an SSB (as defined in TS 38.213 [6]), the first *numberOfRA-PreamblesGroupA* Random Access Preambles belong to Random Access Preambles group A. The remaining Random Access Preambles associated with the SSB belong to Random Access Preambles group B (if configured).

NOTE 2: If Random Access Preambles group B is supported by the cell Random Access Preambles group B is included for each SSB.

- if Random Access Preambles group B is configured:

- *ra-Msg3SizeGroupA*: the threshold to determine the groups of Random Access Preambles;

- *msg3-DeltaPreamble*: ∆*PREAMBLE\_Msg3* in TS 38.213 [6];

- *messagePowerOffsetGroupB*: the power offset for preamble selection;

- *numberOfRA-PreamblesGroupA*: defines the number of Random Access Preambles in Random Access Preamble group A for each SSB.

- the set of Random Access Preambles and/or PRACH occasions for SI request, if any;

- the set of Random Access Preambles and/or PRACH occasions for beam failure recovery request, if any;

- the set of Random Access Preambles and/or PRACH occasions for reconfiguration with sync, if any;

- *ra-ResponseWindow*: the time window to monitor RA response(s) (SpCell only);

- *ra-ContentionResolutionTimer*: the Contention Resolution Timer (SpCell only).

In addition, the following information for related Serving Cell is assumed to be available for UEs:

- if Random Access Preambles group B is configured:

- if the Serving Cell for the Random Access procedure is configured with supplementary uplink as specified in TS 38.331 [5], and SUL carrier is selected for performing Random Access Procedure:

- PCMAX,f,c of the SUL carrier as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16].

- else:

- PCMAX,f,c of the NUL carrier as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16].

The following UE variables are used for the Random Access procedure:

- *PREAMBLE\_INDEX*;

- *PREAMBLE\_TRANSMISSION\_COUNTER*;

- *PREAMBLE\_POWER\_RAMPING\_COUNTER*;

- *PREAMBLE\_POWER\_RAMPING\_STEP*;

- *PREAMBLE\_RECEIVED\_TARGET\_POWER*;

- *PREAMBLE\_BACKOFF*;

- *PCMAX*;

- *SCALING\_FACTOR\_BI*;

- *TEMPORARY\_C-RNTI*.

When the Random Access procedure is initiated on a Serving Cell, the MAC entity shall:

1> flush the Msg3 buffer;

1> set the *PREAMBLE\_TRANSMISSION\_COUNTER* to 1;

1> set the *PREAMBLE\_POWER\_RAMPING\_COUNTER* to 1;

1> set the *PREAMBLE\_BACKOFF* to 0 ms;

1> if the carrier to use for the Random Access procedure is explicitly signalled:

2> select the signalled carrier for performing Random Access procedure;

2> set the *PCMAX* to PCMAX,f,c of the signalled carrier.

1> else if the carrier to use for the Random Access procedure is not explicitly signalled; and

1> if the Serving Cell for the Random Access procedure is configured with supplementary uplink as specified in TS 38.331 [5]; and

1> if the RSRP of the downlink pathloss reference is less than *rsrp-ThresholdSSB-SUL*:

2> select the SUL carrier for performing Random Access procedure;

2> set the *PCMAX* to PCMAX,f,c of the SUL carrier.

1> else:

2> select the NUL carrier for performing Random Access procedure;

2> set the *PCMAX* to PCMAX,f,c of the NUL carrier.

1> perform the BWP operation as specified in clause 5.15;

1> set *PREAMBLE\_POWER\_RAMPING\_STEP* to *powerRampingStep*;

1> set *SCALING\_FACTOR\_BI* to 1;

1> if the Random Access procedure was initiated for beam failure recovery (as specified in clause 5.17); and

1> if *beamFailureRecoveryConfig* is configured for the active UL BWP of the selected carrier:

2> start the *beamFailureRecoveryTimer*, if configured;

2> apply the parameters *powerRampingStep*, *preambleReceivedTargetPower*, and *preambleTransMax* configured in the *beamFailureRecoveryConfig*;

2> if *powerRampingStepHighPriority* is configured in the *beamFailureRecoveryConfig*:

3> set *PREAMBLE\_POWER\_RAMPING\_STEP* to the *powerRampingStepHighPriority*.

2> else:

3> set *PREAMBLE\_POWER\_RAMPING\_STEP* to *powerRampingStep*.

2> if *scalingFactorBI* is configured in the *beamFailureRecoveryConfig*:

3> set *SCALING\_FACTOR\_BI* to the *scalingFactorBI*.

1> else if the Random Access procedure was initiated for handover; and

1> if *rach-ConfigDedicated* is configured for the selected carrier:

2> if *powerRampingStepHighPriority* is configured in the *rach-ConfigDedicated*:

3> set *PREAMBLE\_POWER\_RAMPING\_STEP* to the *powerRampingStepHighPriority*.

2> if *scalingFactorBI* is configured in the *rach-ConfigDedicated*:

3> set *SCALING\_FACTOR\_BI* to the *scalingFactorBI*.

1> perform the Random Access Resource selection procedure (see clause 5.1.2).

### 5.1.2 Random Access Resource selection

The MAC entity shall:

1> if the Random Access procedure was initiated for beam failure recovery (as specified in clause 5.17); and

1> if the *beamFailureRecoveryTimer* (in clause 5.17) is either running or not configured; and

1> if the contention-free Random Access Resources for beam failure recovery request associated with any of the SSBs and/or CSI-RSs have been explicitly provided by RRC; and

1> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* amongst the SSBs in *candidateBeamRSList* or the CSI-RSs with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the CSI-RSs in *candidateBeamRSList* is available:

2> select an SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the SSBs in *candidateBeamRSList* or a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the CSI-RSs in *candidateBeamRSList*;

2> if CSI-RS is selected, and there is no *ra-PreambleIndex* associated with the selected CSI-RS:

3> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the SSB in *candidateBeamRSList* which is quasi-colocated with the selected CSI-RS as specified in TS 38.214 [7].

2> else:

3> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected SSB or CSI-RS from the set of Random Access Preambles for beam failure recovery request.

1> else if the *ra-PreambleIndex* has been explicitly provided by PDCCH; and

1> if the *ra-PreambleIndex* is not 0b000000:

2> set the *PREAMBLE\_INDEX* to the signalled *ra-PreambleIndex*;

2> select the SSB signalled by PDCCH.

1> else if the contention-free Random Access Resources associated with SSBs have been explicitly provided in *rach-ConfigDedicated* and at least one SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the associated SSBs is available:

2> select an SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the associated SSBs;

2> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected SSB.

1> else if the contention-free Random Access Resources associated with CSI-RSs have been explicitly provided in *rach-ConfigDedicated* and at least one CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the associated CSI-RSs is available:

2> select a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the associated CSI-RSs;

2> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected CSI-RS.

1> else if the Random Access procedure was initiated for SI request (as specified in TS 38.331 [5]); and

1> if the Random Access Resources for SI request have been explicitly provided by RRC:

2> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* is available:

3> select an SSB with SS-RSRP above *rsrp-ThresholdSSB*.

2> else:

3> select any SSB.

2> select a Random Access Preamble corresponding to the selected SSB, from the Random Access Preamble(s) determined according to *ra-PreambleStartIndex* as specified in TS 38.331 [5];

2> set the *PREAMBLE\_INDEX* to selected Random Access Preamble.

1> else (i.e. for the contention-based Random Access preamble selection):

2> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* is available:

3> select an SSB with SS-RSRP above *rsrp-ThresholdSSB*.

2> else:

3> select any SSB.

2> if Msg3 buffer is empty:

3> if Random Access Preambles group B is configured:

4> if the potential Msg3 size (UL data available for transmission plus MAC header and, where required, MAC CEs) is greater than *ra-Msg3SizeGroupA* and the pathloss is less than *PCMAX* (of the Serving Cell performing the Random Access Procedure) – *preambleReceivedTargetPower* – *msg3-DeltaPreamble* – *messagePowerOffsetGroupB*; or

4> if the Random Access procedure was initiated for the CCCH logical channel and the CCCH SDU size plus MAC subheader is greater than *ra-Msg3SizeGroupA*:

5> select the Random Access Preambles group B.

4> else:

5> select the Random Access Preambles group A.

3> else:

4> select the Random Access Preambles group A.

2> else (i.e. Msg3 is being retransmitted):

3> select the same group of Random Access Preambles as was used for the Random Access Preamble transmission attempt corresponding to the first transmission of Msg3.

2> select a Random Access Preamble randomly with equal probability from the Random Access Preambles associated with the selected SSB and the selected Random Access Preambles group.

2> set the *PREAMBLE\_INDEX* to the selected Random Access Preamble.

1> if the Random Access procedure was initiated for SI request (as specified in TS 38.331 [5]); and

1> if *ra-AssociationPeriodIndex* and *si-RequestPeriod* are configured:

2> determine the next available PRACH occasion from the PRACH occasions corresponding to the selected SSB in the association period given by *ra-AssociationPeriodIndex* in the *si-RequestPeriod*permitted by the restrictions given by the *ra-ssb-OccasionMaskIndex* if configured (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the consecutive PRACH occasions according to clause 8.1 of TS 38.213 [6] corresponding to the selected SSB).

1> else if an SSB is selected above:

2> determine the next available PRACH occasion from the PRACH occasions corresponding to the selected SSB permitted by the restrictions given by the *ra-ssb-OccasionMaskIndex* if configured or indicated by PDCCH (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the consecutive PRACH occasions according to clause 8.1 of TS 38.213 [6], corresponding to the selected SSB; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the selected SSB).

1> else if a CSI-RS is selected above:

2> if there is no contention-free Random Access Resource associated with the selected CSI-RS:

3> determine the next available PRACH occasion from the PRACH occasions, permitted by the restrictions given by the *ra-ssb-OccasionMaskIndex* if configured, corresponding to the SSB in *candidateBeamRSList* which is quasi-colocated with the selected CSI-RS as specified in TS 38.214 [7] (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the consecutive PRACH occasions according to clause 8.1 of TS 38.213 [6], corresponding to the SSB which is quasi-colocated with the selected CSI-RS; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the SSB which is quasi-colocated with the selected CSI-RS).

2> else:

3> determine the next available PRACH occasion from the PRACH occasions in *ra-OccasionList* corresponding to the selected CSI-RS (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the PRACH occasions occurring simultaneously but on different subcarriers, corresponding to the selected CSI-RS; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the selected CSI-RS).

1> perform the Random Access Preamble transmission procedure (see clause 5.1.3).

NOTE 1: When the UE determines if there is an SSB with SS-RSRP above *rsrp-ThresholdSSB* or a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS*, the UE uses the latest unfiltered L1-RSRP measurement.

NOTE 2: For a UE operating in a semi-static channel access mode as described in TS 37.213 [XX], Random Access Resources overlapping with the idle time of a fixed frame period are not considered for selection.

### 5.1.3 Random Access Preamble transmission

The MAC entity shall, for each Random Access Preamble:

1> if *PREAMBLE\_TRANSMISSION\_COUNTER* is greater than one; and

1> if the notification of suspending power ramping counter has not been received from lower layers; and

1> if LBT failure indication was not received from lower layers for the last Random Access Preamble transmission; and

Editor’s Note: This implements the agreement “As earlier agreed, The POWER\_RAMPING\_COUNTER is not increased if the preamble is not transmitted due to LBT failure. For this purpose LBT failure indication or equiv. (used for other LBT outcome dependencies) from PHY is used.”

1> if SSB or CSI-RS selected is not changed from the selection in the last Random Access Preamble transmission:

2> increment *PREAMBLE\_POWER\_RAMPING\_COUNTER* by 1.

1> select the value of *DELTA\_PREAMBLE* according to clause 7.3;

1> set *PREAMBLE\_RECEIVED\_TARGET\_POWER* to *preambleReceivedTargetPower* + *DELTA\_PREAMBLE* + (*PREAMBLE\_POWER\_RAMPING\_COUNTER* – 1) × *PREAMBLE\_POWER\_RAMPING\_STEP*;

1> except for contention-free Random Access Preamble for beam failure recovery request, compute the RA-RNTI associated with the PRACH occasion in which the Random Access Preamble is transmitted;

1> instruct the physical layer to transmit the Random Access Preamble using the selected PRACH occasion, corresponding RA-RNTI (if available), *PREAMBLE\_INDEX* and *PREAMBLE\_RECEIVED\_TARGET\_POWER*.

1> if LBT failure indication is received from lower layers for this Random Access Preamble transmission:

2> perform the Random Access Resource selection procedure (see clause 5.1.2).

Editor’s Note: The two lines above implement the agreement “MAC returns to the resource selection step if LBT fails for Msg1 transmission opportunity(ies)” and because of that we never reach 5.1.4 where PREAMBLE\_TRANSMISSION\_COUNTER is increased and RAR window is started, thus also agreements “The PREAMBLE\_TRANSMISSION\_COUNTER is not increased if the preamble is not transmitted due to LBT failure” and “Actual transmission for MSG1 (LBT success) is used for starting RAR window” are implemented here.

The RA-RNTI associated with the PRACH occasion in which the Random Access Preamble is transmitted, is computed as:

RA-RNTI = 1 + s\_id + 14 × t\_id + 14 × 80 × f\_id + 14 × 80 × 8 × ul\_carrier\_id

where s\_id is the index of the first OFDM symbol of the PRACH occasion (0 ≤ s\_id < 14), t\_id is the index of the first slot of the PRACH occasion in a system frame (0 ≤ t\_id < 80), where the subcarrier spacing to determine t\_id is based on the value of μ specified in clause 5.3.2 in TS 38.211 [8], f\_id is the index of the PRACH occasion in the frequency domain (0 ≤ f\_id < 8), and ul\_carrier\_id is the UL carrier used for Random Access Preamble transmission (0 for NUL carrier, and 1 for SUL carrier).

### 5.1.4 Random Access Response reception

Once the Random Access Preamble is transmitted and regardless of the possible occurrence of a measurement gap, the MAC entity shall:

1> if the contention-free Random Access Preamble for beam failure recovery request was transmitted by the MAC entity:

2> start the *ra-ResponseWindow* configured in *BeamFailureRecoveryConfig* at the first PDCCH occasion as specified in TS 38.213 [6] from the end of the Random Access Preamble transmission;

2> monitor for a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* of the SpCell identified by the C-RNTI while *ra-ResponseWindow* is running.

1> else:

2> start the *ra-ResponseWindow* configured in *RACH-ConfigCommon* at the first PDCCH occasion as specified in TS 38.213 [6] from the end of the Random Access Preamble transmission;

2> monitor the PDCCH of the SpCell for Random Access Response(s) identified by the RA-RNTI while the *ra-ResponseWindow* is running.

1> if notification of a reception of a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* is received from lower layers on the Serving Cell where the preamble was transmitted; and

1> if PDCCH transmission is addressed to the C-RNTI; and

1> if the contention-free Random Access Preamble for beam failure recovery request was transmitted by the MAC entity:

2> consider the Random Access procedure successfully completed.

1> else if a valid (as specified in TS 38.213 [6]) downlink assignment has been received on the PDCCH for the RA-RNTI and the received TB is successfully decoded:

2> if the Random Access Response contains a MAC subPDU with Backoff Indicator:

3> set the *PREAMBLE\_BACKOFF* to value of the BI field of the MAC subPDU using Table 7.2-1, multiplied with *SCALING\_FACTOR\_BI*.

2> else:

3> set the *PREAMBLE\_BACKOFF* to 0 ms.

2> if the Random Access Response contains a MAC subPDU with Random Access Preamble identifier corresponding to the transmitted *PREAMBLE\_INDEX* (see clause 5.1.3):

3> consider this Random Access Response reception successful.

2> if the Random Access Response reception is considered successful:

3> if the Random Access Response includes a MAC subPDU with RAPID only:

4> consider this Random Access procedure successfully completed;

4> indicate the reception of an acknowledgement for SI request to upper layers.

3> else:

4> apply the following actions for the Serving Cell where the Random Access Preamble was transmitted:

5> process the received Timing Advance Command (see clause 5.2);

5> indicate the *preambleReceivedTargetPower* and the amount of power ramping applied to the latest Random Access Preamble transmission to lower layers (i.e. (*PREAMBLE\_POWER\_RAMPING\_COUNTER* – 1) × *PREAMBLE\_POWER\_RAMPING\_STEP*);

5> if the Random Access procedure for an SCell is performed on uplink carrier where *pusch-Config* is not configured:

6> ignore the received UL grant.

5> else:

6> process the received UL grant value and indicate it to the lower layers.

4> if the Random Access Preamble was not selected by the MAC entity among the contention-based Random Access Preamble(s):

5> consider the Random Access procedure successfully completed.

4> else:

5> set the *TEMPORARY\_C-RNTI* to the value received in the Random Access Response;

5> if this is the first successfully received Random Access Response within this Random Access procedure:

6> if the transmission is not being made for the CCCH logical channel:

7> indicate to the Multiplexing and assembly entity to include a C-RNTI MAC CE in the subsequent uplink transmission.

6> obtain the MAC PDU to transmit from the Multiplexing and assembly entity and store it in the Msg3 buffer.

NOTE: If within a Random Access procedure, an uplink grant provided in the Random Access Response for the same group of contention-based Random Access Preambles has a different size than the first uplink grant allocated during that Random Access procedure, the UE behavior is not defined.

1> if *ra-ResponseWindow* configured in *BeamFailureRecoveryConfig* expires and if a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* addressed to the C-RNTI has not been received on the Serving Cell where the preamble was transmitted; or

1> if *ra-ResponseWindow* configured in *RACH-ConfigCommon* expires, and if the Random Access Response containing Random Access Preamble identifiers that matches the transmitted *PREAMBLE\_INDEX* has not been received:

2> consider the Random Access Response reception not successful;

2> increment *PREAMBLE\_TRANSMISSION\_COUNTER* by 1;

2> if *PREAMBLE\_TRANSMISSION\_COUNTER* = *preambleTransMax* + 1:

3> if the Random Access Preamble is transmitted on the SpCell:

4> indicate a Random Access problem to upper layers;

4> if this Random Access procedure was triggered for SI request:

5> consider the Random Access procedure unsuccessfully completed.

3> else if the Random Access Preamble is transmitted on an SCell:

4> consider the Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

3> select a random backoff time according to a uniform distribution between 0 and the *PREAMBLE\_BACKOFF*;

3> if the criteria (as defined in clause 5.1.2) to select contention-free Random Access Resources is met during the backoff time:

4> perform the Random Access Resource selection procedure (see clause 5.1.2);

3> else:

4> perform the Random Access Resource selection procedure (see clause 5.1.2) after the backoff time.

The MAC entity may stop *ra-ResponseWindow* (and hence monitoring for Random Access Response(s)) after successful reception of a Random Access Response containing Random Access Preamble identifiers that matches the transmitted *PREAMBLE\_INDEX*.

HARQ operation is not applicable to the Random Access Response reception.

### 5.1.5 Contention Resolution

Once Msg3 is transmitted, regardless of LBT failure indication from lower layers for Msg3, the MAC entity shall:

1> start the *ra-ContentionResolutionTimer* and restart the *ra-ContentionResolutionTimer* at each HARQ retransmission in the first symbol after the end of the Msg3 transmission;

Editor’s Note: Here we implement the agreement “ra-ContentionResolutionTimer is started regardless of the LBT outcome of msg3 transmission”.

1> monitor the PDCCH while the *ra-ContentionResolutionTimer* is running regardless of the possible occurrence of a measurement gap;

1> if notification of a reception of a PDCCH transmission of the SpCell is received from lower layers:

2> if the C-RNTI MAC CE was included in Msg3:

3> if the Random Access procedure was initiated for beam failure recovery (as specified in clause 5.17) and the PDCCH transmission is addressed to the C-RNTI; or

3> if the Random Access procedure was initiated by a PDCCH order and the PDCCH transmission is addressed to the C-RNTI; or

3> if the Random Access procedure was initiated by the MAC sublayer itself or by the RRC sublayer and the PDCCH transmission is addressed to the C-RNTI and contains a UL grant for a new transmission:

4> consider this Contention Resolution successful;

4> stop *ra-ContentionResolutionTimer*;

4> discard the *TEMPORARY\_C-RNTI*;

4> consider this Random Access procedure successfully completed.

2> else if the CCCH SDU was included in Msg3 and the PDCCH transmission is addressed to its *TEMPORARY\_C-RNTI*:

3> if the MAC PDU is successfully decoded:

4> stop *ra-ContentionResolutionTimer*;

4> if the MAC PDU contains a UE Contention Resolution Identity MAC CE; and

4> if the UE Contention Resolution Identity in the MAC CE matches the CCCH SDU transmitted in Msg3:

5> consider this Contention Resolution successful and finish the disassembly and demultiplexing of the MAC PDU;

5> if this Random Access procedure was initiated for SI request:

6> indicate the reception of an acknowledgement for SI request to upper layers.

5> else:

6> set the C-RNTI to the value of the *TEMPORARY\_C-RNTI*;

5> discard the *TEMPORARY\_C-RNTI*;

5> consider this Random Access procedure successfully completed.

4> else:

5> discard the *TEMPORARY\_C-RNTI*;

5> consider this Contention Resolution not successful and discard the successfully decoded MAC PDU.

1> if *ra-ContentionResolutionTimer* expires:

2> discard the *TEMPORARY\_C-RNTI*;

2> consider the Contention Resolution not successful.

1> if the Contention Resolution is considered not successful:

2> flush the HARQ buffer used for transmission of the MAC PDU in the Msg3 buffer;

2> increment *PREAMBLE\_TRANSMISSION\_COUNTER* by 1;

2> if *PREAMBLE\_TRANSMISSION\_COUNTER* = *preambleTransMax* + 1:

3> indicate a Random Access problem to upper layers.

3> if this Random Access procedure was triggered for SI request:

4> consider the Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

3> select a random backoff time according to a uniform distribution between 0 and the *PREAMBLE\_BACKOFF*;

3> if the criteria (as defined in clause 5.1.2) to select contention-free Random Access Resources is met during the backoff time:

4> perform the Random Access Resource selection procedure (see clause 5.1.2);

3> else:

4> perform the Random Access Resource selection procedure (see clause 5.1.2) after the backoff time.

### 5.1.6 Completion of the Random Access procedure

Upon completion of the Random Access procedure, the MAC entity shall:

1> discard explicitly signalled contention-free Random Access Resources except contention-free Random Access Resources for beam failure recovery request, if any;

1> flush the HARQ buffer used for transmission of the MAC PDU in the Msg3 buffer.

## 5.2 Maintenance of Uplink Time Alignment

RRC configures the following parameters for the maintenance of UL time alignment:

- *timeAlignmentTimer* (per TAG) which controls how long the MAC entity considers the Serving Cells belonging to the associated TAG to be uplink time aligned.

The MAC entity shall:

1> when a Timing Advance Command MAC CE is received, and if an NTA (as defined in TS 38.211 [8]) has been maintained with the indicated TAG:

2> apply the Timing Advance Command for the indicated TAG;

2> start or restart the *timeAlignmentTimer* associated with the indicated TAG.

1> when a Timing Advance Command is received in a Random Access Response message for a Serving Cell belonging to a TAG:

2> if the Random Access Preamble was not selected by the MAC entity among the contention-based Random Access Preamble:

3> apply the Timing Advance Command for this TAG;

3> start or restart the *timeAlignmentTimer* associated with this TAG.

2> else if the *timeAlignmentTimer* associated with this TAG is not running:

3> apply the Timing Advance Command for this TAG;

3> start the *timeAlignmentTimer* associated with this TAG;

3> when the Contention Resolution is considered not successful as described in clause 5.1.5; or

3> when the Contention Resolution is considered successful for SI request as described in clause 5.1.5, after transmitting HARQ feedback for MAC PDU including UE Contention Resolution Identity MAC CE:

4> stop *timeAlignmentTimer* associated with this TAG.

2> else:

3> ignore the received Timing Advance Command.

1> when a *timeAlignmentTimer* expires:

2> if the *timeAlignmentTimer* is associated with the PTAG:

3> flush all HARQ buffers for all Serving Cells;

3> notify RRC to release PUCCH for all Serving Cells, if configured;

3> notify RRC to release SRS for all Serving Cells, if configured;

3> clear any configured downlink assignments and configured uplink grants;

3> clear any PUSCH resource for semi-persistent CSI reporting;

3> consider all running *timeAlignmentTimer*s as expired;

3> maintain NTA (defined in TS 38.211 [8]) of all TAGs.

2> else if the *timeAlignmentTimer* is associated with an STAG, then for all Serving Cells belonging to this TAG:

3> flush all HARQ buffers;

3> notify RRC to release PUCCH, if configured;

3> notify RRC to release SRS, if configured;

3> clear any configured downlink assignments and configured uplink grants;

3> clear any PUSCH resource for semi-persistent CSI reporting;

3> maintain NTA (defined in TS 38.211 [8]) of this TAG.

When the MAC entity stops uplink transmissions for an SCell due to the fact that the maximum uplink transmission timing difference between TAGs of the MAC entity or the maximum uplink transmission timing difference between TAGs of any MAC entity of the UE is exceeded, the MAC entity considers the *timeAlignmentTimer* associated with the SCell as expired.

The MAC entity shall not perform any uplink transmission on a Serving Cell except the Random Access Preamble transmission when the *timeAlignmentTimer* associated with the TAG to which this Serving Cell belongs is not running. Furthermore, when the *timeAlignmentTimer* associated with the PTAG is not running, the MAC entity shall not perform any uplink transmission on any Serving Cell except the Random Access Preamble transmission on the SpCell.

## 5.3 DL-SCH data transfer

### 5.3.1 DL Assignment reception

Downlink assignments received on the PDCCH both indicate that there is a transmission on a DL-SCH for a particular MAC entity and provide the relevant HARQ information.

When the MAC entity has a C-RNTI, Temporary C-RNTI, or CS-RNTI, the MAC entity shall for each PDCCH occasion during which it monitors PDCCH and for each Serving Cell:

1> if a downlink assignment for this PDCCH occasion and this Serving Cell has been received on the PDCCH for the MAC entity's C-RNTI, or Temporary C‑RNTI:

2> if this is the first downlink assignment for this Temporary C-RNTI:

3> consider the NDI to have been toggled.

2> if the downlink assignment is for the MAC entity's C-RNTI, and if the previous downlink assignment indicated to the HARQ entity of the same HARQ process was either a downlink assignment received for the MAC entity's CS-RNTI or a configured downlink assignment:

3> consider the NDI to have been toggled regardless of the value of the NDI.

2> indicate the presence of a downlink assignment and deliver the associated HARQ information to the HARQ entity.

1> else if a downlink assignment 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> indicate the presence of a downlink assignment for this Serving Cell and deliver the associated HARQ information to the HARQ entity.

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

3> if PDCCH contents indicate SPS deactivation:

4> clear the configured downlink assignment for this Serving Cell (if any);

4> if the *timeAlignmentTimer*, associated with the TAG containing the Serving Cell on which the HARQ feedback is to be transmitted, is running:

5> indicate a positive acknowledgement for the SPS deactivation to the physical layer.

3> else if PDCCH content indicates SPS activation:

4> store the downlink assignment for this Serving Cell and the associated HARQ information as configured downlink assignment;

4> initialise or re-initialise the configured downlink assignment for this Serving Cell to start in the associated PDSCH duration and to recur according to rules in clause 5.8.1;

For each Serving Cell and each configured downlink assignment, if configured and activated, the MAC entity shall:

1> if the PDSCH duration of the configured downlink assignment does not overlap with the PDSCH duration of a downlink assignment received on the PDCCH for this Serving Cell:

2> instruct the physical layer to receive, in this PDSCH duration, transport block on the DL-SCH according to the configured downlink assignment and to deliver it to the HARQ entity;

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

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

2> indicate the presence of a configured downlink assignment and deliver the stored HARQ information to the HARQ entity.

For configured downlink assignments, the HARQ Process ID associated with the slot where the DL transmission starts is derived from the following equation:

HARQ Process ID = [floor (CURRENT\_slot × 10 / (*numberOfSlotsPerFrame* × *periodicity*))] modulo *nrofHARQ-Processes*

where CURRENT\_slot = [(SFN × *numberOfSlotsPerFrame*) + slot number in the frame] and *numberOfSlotsPerFrame* refers to the number of consecutive slots per frame as specified in TS 38.211 [8].

When the MAC entity needs to read BCCH, the MAC entity may, based on the scheduling information from RRC:

1> if a downlink assignment for this PDCCH occasion has been received on the PDCCH for the SI-RNTI;

2> indicate a downlink assignment and redundancy version for the dedicated broadcast HARQ process to the HARQ entity.

### 5.3.2 HARQ operation

#### 5.3.2.1 HARQ Entity

The MAC entity includes a HARQ entity for each Serving Cell, which maintains a number of parallel HARQ processes. Each HARQ process is associated with a HARQ process identifier. The HARQ entity directs HARQ information and associated TBs received on the DL-SCH to the corresponding HARQ processes (see clause 5.3.2.2).

The number of parallel DL HARQ processes per HARQ entity is specified in TS 38.214 [7]. The dedicated broadcast HARQ process is used for BCCH.

The HARQ process supports one TB when the physical layer is not configured for downlink spatial multiplexing. The HARQ process supports one or two TBs when the physical layer is configured for downlink spatial multiplexing.

When the MAC entity is configured with *pdsch-AggregationFactor* > 1, the parameter *pdsch-AggregationFactor* provides the number of transmissions of a TB within a bundle of the downlink assignment. Bundling operation relies on the HARQ entity for invoking the same HARQ process for each transmission that is part of the same bundle. After the initial transmission, *pdsch-AggregationFactor* – 1 HARQ retransmissions follow within a bundle.

The MAC entity shall:

1> if a downlink assignment has been indicated:

2> allocate the TB(s) received from the physical layer and the associated HARQ information to the HARQ process indicated by the associated HARQ information.

1> if a downlink assignment has been indicated for the broadcast HARQ process:

2> allocate the received TB to the broadcast HARQ process.

#### 5.3.2.2 HARQ process

When a transmission takes place for the HARQ process, one or two (in case of downlink spatial multiplexing) TBs and the associated HARQ information are received from the HARQ entity.

For each received TB and associated HARQ information, the HARQ process shall:

1> if the NDI, when provided, has been toggled compared to the value of the previous received transmission corresponding to this TB; or

1> if the HARQ process is equal to the broadcast process, and this is the first received transmission for the TB according to the system information schedule indicated by RRC; or

1> if this is the very first received transmission for this TB (i.e. there is no previous NDI for this TB):

2> consider this transmission to be a new transmission.

1> else:

2> consider this transmission to be a retransmission.

The MAC entity then shall:

1> if this is a new transmission:

2> attempt to decode the received data.

1> else if this is a retransmission:

2> if the data for this TB has not yet been successfully decoded:

3> instruct the physical layer to combine the received data with the data currently in the soft buffer for this TB and attempt to decode the combined data.

1> if the data which the MAC entity attempted to decode was successfully decoded for this TB; or

1> if the data for this TB was successfully decoded before:

2> if the HARQ process is equal to the broadcast process:

3> deliver the decoded MAC PDU to upper layers.

2> else if this is the first successful decoding of the data for this TB:

3> deliver the decoded MAC PDU to the disassembly and demultiplexing entity.

1> else:

2> instruct the physical layer to replace the data in the soft buffer for this TB with the data which the MAC entity attempted to decode.

1> if the HARQ process is associated with a transmission indicated with a Temporary C-RNTI and the Contention Resolution is not yet successful (see clause 5.1.5); or

1> if the HARQ process is equal to the broadcast process; or

1> if the *timeAlignmentTimer*, associated with the TAG containing the Serving Cell on which the HARQ feedback is to be transmitted, is stopped or expired:

2> not instruct the physical layer to generate acknowledgement(s) of the data in this TB.

1> else:

2> instruct the physical layer to generate acknowledgement(s) of the data in this TB.

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

NOTE: If the MAC entity receives a retransmission with a TB size different from the last TB size signalled for this TB, the UE behavior is left up to UE implementation.

### 5.3.3 Disassembly and demultiplexing

The MAC entity shall disassemble and demultiplex a MAC PDU as defined in clause 6.1.2.

## 5.4 UL-SCH data transfer

### 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.

3> stop the *cg-RetransmissionTimer* for the correponding HARQ process, if running.

Editor’s Note: No impact on CGT because of the agreements   
“the legacy configured grant timer and behaviour is kept for preventing the configured grant overriding the TB scheduled by dynamic grant, i.e. it is (re)started upon reception of the PDCCH as well as transmission on the PUSCH of dynamic grant.” and highlighted part of  
“R2 assumes that the configured grant timer is not started/restarted when configured grant is not transmitted due to LBT failure. PDU overwrite need to be avoided somehow.”.  
If we did not start the CGT here, then a CG may override the dynamic grant before the gNB have time to schedule retransmissions in case LBT fails in 5.4.2.1.   
The highlighted part of agreement “the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.” is the last line above.

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> stop the *cg-RetransmissionTimer* for the correponding HARQ process, if running.

Editor’s Note: No impact on CGT because of the agreements   
“the legacy configured grant timer and behaviour is kept for preventing the configured grant overriding the TB scheduled by dynamic grant, i.e. it is (re)started upon reception of the PDCCH as well as transmission on the PUSCH of dynamic grant.” and highlighted part of  
“R2 assumes that the configured grant timer is not started/restarted when configured grant is not transmitted due to LBT failure. PDU overwrite need to be avoided somehow.”.  
If we did not start the CGT here, then a CG may override the dynamic grant before the gNB have time to schedule retransmissions in case LBT fails in 5.4.2.1.   
The highlighted part of agreement “the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.” is the last line above.

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;

4> stop the *cg-RetransmissionTimer* for the correponding HARQ process, if running.

Editor’s Note: Implements agreement “Upon receiving CG activation command, stop the CG retransmission timer for HARQ processes configured for the CG”.

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, for the corresponding HARQ process, the *configuredGrantTimer* is not running and *cg-RetransmissionTimer* is not configured (i.e. new transmission):

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

Editor’s Note: This is the legacy case where CGT is either not configured or configured but not running and completely separates legacy from the case when autonomous retransmissions is allowed.

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

2> else if the *cg-RetransmissionTimer* for the corresponding HARQ process is configured and not running, then for the corresponding HARQ process:

Editor’s Note: This is CG configured with autonomous retransmissions and the HARQ process does not have CGRT running.

3> if the *configuredGrantTimer* is not running, and the HARQ process is not pending (i.e. new transmission):

4> consider the NDI bit to have been toggled;

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

3> else if the previous uplink grant delivered to the HARQ entity for the same HARQ process was a configured uplink grant (i.e. retransmission on configured grant):

Editor’s Note: This HARQ process have not been used by a dynamic grant and shall be retransmitted.

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

Editor’s Note: Above two points are for retransmissions on configured uplink grants and from “CG retransmission timer”, note that this also implements the agreements   
“On LBT failure at TX on CG, the UE transmits the pending TB using same HARQ process, in a CG resource.” and   
“Retransmissions of a TB using configured grant resources, when initial transmission or a retransmission of the TB was previously done using dynamically scheduled resources, is not allowed”.

For configured uplink grants not configured with *cg-RetransmissionTimer*, 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].

For configured uplink grants configured with *cg-RetransmissionTimer*, the UE implementation select an HARQ Process ID among the HARQ process IDs available for the configured grant configuration, this includes selecting an corresponding HARQ process for Type 2 activation. The UE shall prioritize retransmissions before initial transmissions. The UE shall toggle the NDI in the CG-UCI for new transmissions and not toggle the NDI in the CG-UCI in retransmissions.

Editor’s Note: This implements the agreement “HARQ process id selection is based on UE implementation. Ongoing retransmissions on HARQ processes should be prioritized.”.

Editor’s Note: The agreement  
“The processes with TB pending for retransmission shall be prioritized over the processes for new transmissions as already agreed for single CG case.”   
is captured here.

Editor’s Note: These agreements are captured here:  
“When cg-RetransmissionTimer is configured and UE receives a CG (re)activation or deactivation, the UE implementation select one corresponding HARQ process.”   
“When CG type 2 (re-)activation DCI is received, UE implementation selects a HARQ process (as agreed), and stops the CGRT and CGT associated with the selected HARQ process, if running. (14/17)”  
“Toggle NDI for CG-UCI for new transmissions and not toggle the NDI in the CG-UCI for retransmissions”

NOTE 1: CURRENT\_symbol refers to the symbol index of the first transmission occasion of a repetition bundle that takes place.

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.

NOTE: When a single DCI is used to schedule multiple PUSCH, the UE is allowed to map generated TB(s) internally to different HARQ processes in case of LBT failure(s), i.e. UE may transmit a new TB on any HARQ process in the grants that have the same TBS, the same RV and the NDIs indicate new transmission.

Editor’s Note: Implements “Add this behaviour as NOTE: the UE is allowed to map generated TB(s) internally to different HARQ processes in case of LBT failure(s), i.e. UE may transmit a new TB on any HARQ process in the grants that have the same TBS, the same RV and the NDIs indicate new transmission.”

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 of the dynamic grant. After the initial transmission, *pusch-AggregationFactor* – 1 HARQ retransmissions follow within a bundle. When the MAC entity is configured with *repK* > 1, the parameter *repK* provides the number of transmissions of a TB within a bundle of the configured uplink grant. 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. Each transmission within a bundle is a separate uplink grant after the initial uplink grant within a bundle is 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 configured uplink grants configured with *cg-RetransmissionTimer*, the redundancy version zero is used for initial transmissions and UE implementation selects redundancy version for retransmissions.

Editor’s Note: These agreements are captured here:  
“The UE uses RV zero for the initial transmission. The RV selection for auto-retransmission is left up to UE implementation, as for feLAA. (17/17)”

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:

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

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

Editor’s Note: Agreements implemented because of definition in 5.X. This is the impact of the agreements   
“R2 assumes that the configured grant timer is not started/restarted when configured grant is not transmitted due to LBT failure. PDU overwrite need to be avoided somehow.” and the highlighted part of agreement   
“the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.”.

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.

Editor’s Note:Agreements implemented because of definition in 5.X. This is the impact of the agreement   
“The configured grant timer is not started/restarted when the UL LBT fails on PUSCH transmission for UL grant received by PDCCH addressed to C-RNTI, which indicates the same HARQ process configured for configured uplink grant”.

4> if *cg-RetransmissionTimer* is configured for the identified HARQ process:

5> if the transmission is performed:

6> consider the identified HARQ process as not pending.

5> else:

6> consider the identified HARQ process as pending.

Editor’s Note: Above impact is from PDU overwrite issue.

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.

Editor’s Note: Agreements implemented because of definition in 5.X. This is the impact of the agreements   
“The configured grant timer is not started/restarted when UL LBT fails on PUSCH transmission for grant received by PDCCH addressed to CS-RNTI scheduling retransmission for configured grant” and   
“The configured grant timer is not started/restarted when the UL LBT fails on PUSCH transmission for UL grant received by PDCCH addressed to C-RNTI, which indicates the same HARQ process configured for configured uplink grant”.

4> if the uplink grant is a configured uplink grant:

5> if the identified HARQ process is pending:

6> start or restart the *configuredGrantTimer* for the corresponding HARQ process when the transmission is performed;

Editor’s Note: Above capture the highlighted part of the agreement   
“R2 assumes that the configured grant timer is not started/restarted when configured grant is not transmitted due to LBT failure. PDU overwrite need to be avoided somehow.”   
because of the two agreements  
“*cg-RetransmissionTimer* is always configured for NR-U” and  
“Both CG timer and CG retransmission timer are used at the same time for a HARQ process.”.

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

Editor’s Note: The impact of the highlighted part of the agreement “the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.” is captured in the two points above in combination with the definition in section 5.X.

4> if the identified HARQ process is pending and the transmission is performed:

5> consider the identified HARQ process as not pending.

Editor’s Note: Above impact is from PDU overwrite issue.

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.

#### 5.4.2.2 HARQ process

Each HARQ process is associated with a HARQ buffer.

New transmissions are performed on the resource and with the MCS indicated on either PDCCH, Random Access Response, or RRC. Retransmissions are performed on the resource and, if provided, with the MCS indicated on PDCCH, or on the same resource and with the same MCS as was used for last made transmission attempt within a bundle, or on stored configured uplink grant resources and stored MCS when *cg-RetransmissionTimer* is configured. Retransmissions with the same HARQ process may be performed on any configured grant configuration if the configured grant configurations have the same TBS.

Editor’s Note: Above impact is for retransmissions on CG resources.

Editor’s Note: This implements the agrement  
“Retransmissions can be done on different CG resources as long as they are with the same TBS with the same HARQ process”

When *cg-RetransmissionTimer* is configured and the HARQ entity obtains a MAC PDU to transmit, the corresponding HARQ process is considered to be pending. A pending HARQ process is pending until a transmission is performed on that HARQ process or until the HARQ process is flushed.

Editor’s Note: Above impact is from PDU overwrite issue.

If the HARQ entity requests a new transmission for a TB, the HARQ process shall:

1> store the MAC PDU in the associated HARQ buffer;

1> store the uplink grant received from the HARQ entity;

1> generate a transmission as described below.

If the HARQ entity requests a retransmission for a TB, the HARQ process shall:

1> store the uplink grant received from the HARQ entity;

1> generate a transmission as described below.

To generate a transmission for a TB, the HARQ process shall:

1> if the MAC PDU was obtained from the Msg3 buffer; or

1> if there is no measurement gap at the time of the transmission and, in case of retransmission, the retransmission does not collide with a transmission for a MAC PDU obtained from the Msg3 buffer:

2> instruct the physical layer to generate a transmission according to the stored uplink grant.

If a HARQ process receives downlink feedback information, the HARQ process shall:

1> stop the *cg-RetransmissionTimer*, if running;

1> if acknowledgement is indicated:

2> stop the *configuredGrantTimer*, if running.

Editor’s Note: The impact of “The UE does not stop the CG timer upon NACK feedback reception, and stops the CG timer upon ACK feedback reception.” and the highlighted part of “the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.” is captured above.

If the *configuredGrantTimer* expires for a HARQ process, the HARQ process shall:

1> stop the *cg-RetransmissionTimer*, if running.

Editor’s Note: The impact of “When configuredGrantTimer expires, the UE should stop the CGretransmission timer (CGRT) if it is still running” is captured above.

### 5.4.3 Multiplexing and assembly

#### 5.4.3.1 Logical Channel Prioritization

##### 5.4.3.1.1 General

The Logical Channel Prioritization (LCP) procedure is applied whenever a new transmission is performed.

RRC controls the scheduling of uplink data by signalling for each logical channel per MAC entity:

- *priority* where an increasing priority value indicates a lower priority level;

- *prioritisedBitRate* which sets the Prioritized Bit Rate (PBR);

- *bucketSizeDuration* which sets the Bucket Size Duration (BSD).

RRC additionally controls the LCP procedure by configuring mapping restrictions for each logical channel:

- *allowedSCS-List* which sets the allowed Subcarrier Spacing(s) for transmission;

- *maxPUSCH-Duration* which sets the maximum PUSCH duration allowed for transmission;

- *configuredGrantType1Allowed* which sets whether a configured grant Type 1 can be used for transmission;

- *allowedServingCells* which sets the allowed cell(s) for transmission.

The following UE variable is used for the Logical channel prioritization procedure:

- *Bj* which is maintained for each logical channel *j*.

The MAC entity shall initialize *Bj* of the logical channel to zero when the logical channel is established.

For each logical channel *j*, the MAC entity shall:

1> increment *Bj* by the product PBR × T before every instance of the LCP procedure, where T is the time elapsed since *Bj* was last incremented;

1> if the value of *Bj* is greater than the bucket size (i.e. PBR × BSD):

2> set *Bj* to the bucket size.

NOTE: The exact moment(s) when the UE updates *Bj* between LCP procedures is up to UE implementation, as long as *Bj* is up to date at the time when a grant is processed by LCP.

##### 5.4.3.1.2 Selection of logical channels

The MAC entity shall, when a new transmission is performed:

1> select the logical channels for each UL grant that satisfy all the following conditions:

2> the set of allowed Subcarrier Spacing index values in *allowedSCS-List*, if configured, includes the Subcarrier Spacing index associated to the UL grant; and

2> *maxPUSCH-Duration*, if configured, is larger than or equal to the PUSCH transmission duration associated to the UL grant; and

2> *configuredGrantType1Allowed*, if configured, is set to *true* in case the UL grant is a Configured Grant Type 1; and

2> *allowedServingCells*, if configured, includes the Cell information associated to the UL grant. Does not apply to logical channels associated with a DRB configured with PDCP duplication within the same MAC entity (i.e. CA duplication) for which PDCP duplication is deactivated.

NOTE: The Subcarrier Spacing index, PUSCH transmission duration and Cell information are included in Uplink transmission information received from lower layers for the corresponding scheduled uplink transmission.

##### 5.4.3.1.3 Allocation of resources

The MAC entity shall, when a new transmission is performed:

1> allocate resources to the logical channels as follows:

2> logical channels selected in clause 5.4.3.1.2 for the UL grant with *Bj* > 0 are allocated resources in a decreasing priority order. If the PBR of a logical channel is set to *infinity*, the MAC entity shall allocate resources for all the data that is available for transmission on the logical channel before meeting the PBR of the lower priority logical channel(s);

2> decrement *Bj* by the total size of MAC SDUs served to logical channel *j* above;

2> if any resources remain, all the logical channels selected in clause 5.4.3.1.2 are served in a strict decreasing priority order (regardless of the value of *Bj*) until either the data for that logical channel or the UL grant is exhausted, whichever comes first. Logical channels configured with equal priority should be served equally.

NOTE: The value of *Bj* can be negative.

If the MAC entity is requested to simultaneously transmit multiple MAC PDUs, or if the MAC entity receives the multiple UL grants within one or more coinciding PDCCH occasions (i.e. on different Serving Cells), it is up to UE implementation in which order the grants are processed.

The UE shall also follow the rules below during the scheduling procedures above:

- the UE should not segment an RLC SDU (or partially transmitted SDU or retransmitted RLC PDU) if the whole SDU (or partially transmitted SDU or retransmitted RLC PDU) fits into the remaining resources of the associated MAC entity;

- if the UE segments an RLC SDU from the logical channel, it shall maximize the size of the segment to fill the grant of the associated MAC entity as much as possible;

- the UE should maximise the transmission of data;

- if the MAC entity is given a UL grant size that is equal to or larger than 8 bytes while having data available and allowed (according to clause 5.4.3.1) for transmission, the MAC entity shall not transmit only padding BSR and/or padding.

The MAC entity shall not generate a MAC PDU for the HARQ entity if the following conditions are satisfied:

- the MAC entity is configured with *skipUplinkTxDynamic* with value *true* and the grant indicated to the HARQ entity was addressed to a C-RNTI, or the grant indicated to the HARQ entity is a configured uplink grant; and

- there is no aperiodic CSI requested for this PUSCH transmission as specified in TS 38.212 [9]; and

- the MAC PDU includes zero MAC SDUs; and

- the MAC PDU includes only the periodic BSR and there is no data available for any LCG, or the MAC PDU includes only the padding BSR.

Logical channels shall be prioritised in accordance with the following order (highest priority listed first):

- C-RNTI MAC CE or data from UL-CCCH;

- Configured Grant Confirmation MAC CE;

- MAC CE for BSR, with exception of BSR included for padding;

- Single Entry PHR MAC CE or Multiple Entry PHR MAC CE;

- data from any Logical Channel, except data from UL-CCCH;

- MAC CE for Recommended bit rate query;

- MAC CE for BSR included for padding.

Editor’s Note: This capture the agreement “MAC CE for UL LBT problem has higher priority than data but lower priority than the BFR MAC CE.”.

#### 5.4.3.2 Multiplexing of MAC Control Elements and MAC SDUs

The MAC entity shall multiplex MAC CEs and MAC SDUs in a MAC PDU according to clauses 5.4.3.1 and 6.1.2.

NOTE: Content of a MAC PDU does not change after being built for transmission on a dynamic uplink grant, regardless of LBT outcome.

Editor’s Note: Above impact is from agreement “Content of a MAC PDU (including any PHR value) will not change after it has been built for transmission on dynamic grant even if the LBT fails.”.

### 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 and for consistent LBT failure (see clause 5.X), at most one PUCCH resource for SR is configured per BWP.

Each SR configuration corresponds to one or more logical channels 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 the BSR (clause 5.4.5) (if such a configuration exists) or the SR configuration of the consistent LBT failure (clause 5.X) (if such a configuration exists) is considered as corresponding SR configuration for the triggered SR.

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 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 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 triggered by consistent LBT failure:

1> if 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

Editor’s Note: This implements “The UE cancels a pending SR triggered by UL LBT failure upon successful transmission of an LBT failure MAC CE indicating the cell, where transmission is from MAC perspective (i.e. regardless of LBT outcome at PHY)”

1> if the corresponding consistent LBT failure is cancelled (see clause 5.X):

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.

Editor’s Note: The last part of agreement “One SR configuration (SR id) can be configured for SRs triggered by UL LBT failure detection on SCell; the SR configuration can be shared with other LCHs. RACH is triggered if this SR config id is not configured.”takes effect here.

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; and

2> if the PUCCH resource for the SR transmission occasion does not overlap with a UL-SCH resource:

3> if *SR\_COUNTER* < *sr-TransMax*:

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

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

5

5> start the *sr-ProhibitTimer*.

3> else:

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

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

4> clear any configured downlink assignments and uplink grants;

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

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

NOTE 1: 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: For a UE operating in a semi-static channel access mode as described in TS 37.213[XX], 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. Such a 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, 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.

Ongoing Random Access procedure initiated due to a pending SR for consistent LBT failure, may be stopped by the MAC entity when the corresponding consisitent LBT failure is cancelled (see clause 5.X).

### 5.4.5 Buffer Status Reporting

The Buffer Status reporting (BSR) procedure is used to provide the serving gNB with information about UL data volume in the MAC entity.

RRC configures the following parameters to control the BSR:

- *periodicBSR-Timer*;

- *retxBSR-Timer*;

- *logicalChannelSR-DelayTimerApplied*;

- *logicalChannelSR-DelayTimer*;

- *logicalChannelSR-Mask*;

- *logicalChannelGroup*.

Each logical channel may be allocated to an LCG using the *logicalChannelGroup*. The maximum number of LCGs is eight.

The MAC entity determines the amount of UL data available for a logical channel according to the data volume calculation procedure in TSs 38.322 [3] and 38.323 [4].

A BSR shall be triggered if any of the following events occur:

- UL data, for a logical channel which belongs to an LCG, becomes available to the MAC entity; and either

- this UL data belongs to a logical channel with higher priority than the priority of any logical channel containing available UL data which belong to any LCG; or

- none of the logical channels which belong to an LCG contains any available UL data.

in which case the BSR is referred below to as 'Regular BSR';

- UL resources are allocated and number of padding bits is equal to or larger than the size of the Buffer Status Report MAC CE plus its subheader, in which case the BSR is referred below to as 'Padding BSR';

- *retxBSR-Timer* expires, and at least one of the logical channels which belong to an LCG contains UL data, in which case the BSR is referred below to as 'Regular BSR';

- *periodicBSR-Timer* expires, in which case the BSR is referred below to as 'Periodic BSR'.

NOTE 1: When Regular BSR triggering events occur for multiple logical channels simultaneously, each logical channel triggers one separate Regular BSR.

For Regular BSR, the MAC entity shall:

1> if the BSR is triggered for a logical channel for which *logicalChannelSR-DelayTimerApplied* with value *true* is configured by upper layers:

2> start or restart the *logicalChannelSR-DelayTimer*.

1> else:

2> if running, stop the *logicalChannelSR-DelayTimer*.

For Regular and Periodic BSR, the MAC entity shall:

1> if more than one LCG has data available for transmission when the MAC PDU containing the BSR is to be built:

2> report Long BSR for all LCGs which have data available for transmission.

1> else:

2> report Short BSR.

For Padding BSR, the MAC entity shall:

1> if the number of padding bits is equal to or larger than the size of the Short BSR plus its subheader but smaller than the size of the Long BSR plus its subheader:

2> if more than one LCG has data available for transmission when the BSR is to be built:

3> if the number of padding bits is equal to the size of the Short BSR plus its subheader:

4> report Short Truncated BSR of the LCG with the highest priority logical channel with data available for transmission.

3> else:

4> report Long Truncated BSR of the LCG(s) with the logical channels having data available for transmission following a decreasing order of the highest priority logical channel (with or without data available for transmission) in each of these LCG(s), and in case of equal priority, in increasing order of LCGID.

2> else:

3> report Short BSR.

1> else if the number of padding bits is equal to or larger than the size of the Long BSR plus its subheader:

2> report Long BSR for all LCGs which have data available for transmission.

For BSR triggered by *retxBSR-Timer* expiry, the MAC entity considers that the logical channel that triggered the BSR is the highest priority logical channel that has data available for transmission at the time the BSR is triggered.

The MAC entity shall:

1> if the Buffer Status reporting procedure determines that at least one BSR has been triggered and not cancelled:

2> if UL-SCH resources are available for a new transmission and the UL-SCH resources can accommodate the BSR MAC CE plus its subheader as a result of logical channel prioritization:

3> instruct the Multiplexing and Assembly procedure to generate the BSR MAC CE(s);

3> start or restart *periodicBSR-Timer* except when all the generated BSRs are long or short Truncated BSRs;

3> start or restart *retxBSR-Timer*.

2> if a Regular BSR has been triggered and *logicalChannelSR-DelayTimer* is not running:

3> if there is no UL-SCH resource available for a new transmission; or

3> if the MAC entity is configured with configured uplink grant(s) and the Regular BSR was triggered for a logical channel for which *logicalChannelSR-Mask* is set to *false*; or

3> if the UL-SCH resources available for a new transmission do not meet the LCP mapping restrictions (see clause 5.4.3.1) configured for the logical channel that triggered the BSR:

4> trigger a Scheduling Request.

NOTE 2: UL-SCH resources are considered available if the MAC entity has an active configuration for either type of configured uplink grants, or if the MAC entity has received a dynamic uplink grant, or if both of these conditions are met. If the MAC entity has determined at a given point in time that UL-SCH resources are available, this need not imply that UL-SCH resources are available for use at that point in time.

A MAC PDU shall contain at most one BSR MAC CE, even when multiple events have triggered a BSR. The Regular BSR and the Periodic BSR shall have precedence over the padding BSR.

The MAC entity shall restart *retxBSR-Timer* upon reception of a grant for transmission of new data on any UL-SCH.

All triggered BSRs may be cancelled when the UL grant(s) can accommodate all pending data available for transmission but is not sufficient to additionally accommodate the BSR MAC CE plus its subheader. All BSRs triggered prior to MAC PDU assembly shall be cancelled when a 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.

Editor’s Note: The agreement “All BSRs triggered prior to MAC PDU assembly shall be cancelled when a MAC PDU is attempted transmission on PUSCH while UL LBT fails 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, i.e. no TS change for this case.” actually has spec impact here.

NOTE 3: MAC PDU assembly can happen at any point in time between uplink grant reception and actual transmission of the corresponding MAC PDU. BSR and SR can be triggered after the assembly of a MAC PDU which contains a BSR MAC CE, but before the transmission of this MAC PDU. In addition, BSR and SR can be triggered during MAC PDU assembly.

NOTE 4: If a HARQ process is configured with *cg-RetransmissionTimer* and if the BSR is already included in a MAC PDU for transmission by this HARQ process, but not yet transmitted by lower layers, it is up to UE implementation how to handle the BSR content.

### 5.4.6 Power Headroom Reporting

The Power Headroom reporting procedure is used to provide the serving gNB with the following information:

- Type 1 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for UL-SCH transmission per activated Serving Cell;

- Type 2 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for UL-SCH and PUCCH transmission on SpCell of the other MAC entity (i.e. E-UTRA MAC entity in EN-DC, NE-DC, and NGEN-DC cases);

- Type 3 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for SRS transmission per activated Serving Cell.

RRC controls Power Headroom reporting by configuring the following parameters:

- *phr-PeriodicTimer*;

- *phr-ProhibitTimer*;

- *phr-Tx-PowerFactorChange*;

- *phr-Type2OtherCell*;

- *phr-ModeOtherCG*;

- *multiplePHR*.

A Power Headroom Report (PHR) shall be triggered if any of the following events occur:

- *phr-ProhibitTimer* expires or has expired and the path loss has changed more than *phr-Tx-PowerFactorChange* dB for at least one activated Serving Cell of any MAC entity which is used as a pathloss reference since the last transmission of a PHR in this MAC entity when the MAC entity has UL resources for new transmission;

NOTE 1: The path loss variation for one cell assessed above is between the pathloss measured at present time on the current pathloss reference and the pathloss measured at the transmission time of the last transmission of PHR on the pathloss reference in use at that time, irrespective of whether the pathloss reference has changed in between.

- *phr-PeriodicTimer* expires;

- upon configuration or reconfiguration of the power headroom reporting functionality by upper layers, which is not used to disable the function;

- activation of an SCell of any MAC entity with configured uplink;

- addition of the PSCell (i.e. PSCell is newly added or changed);

- *phr-ProhibitTimer* expires or has expired, when the MAC entity has UL resources for new transmission, and the following is true for any of the activated Serving Cells of any MAC entity with configured uplink:

- there are UL resources allocated for transmission or there is a PUCCH transmission on this cell, and the required power backoff due to power management (as allowed by P-MPRc as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16]) for this cell has changed more than *phr-Tx-PowerFactorChange* dB since the last transmission of a PHR when the MAC entity had UL resources allocated for transmission or PUCCH transmission on this cell.

NOTE 2: The MAC entity should avoid triggering a PHR when the required power backoff due to power management decreases only temporarily (e.g. for up to a few tens of milliseconds) and it should avoid reflecting such temporary decrease in the values of PCMAX,f,c/PH when a PHR is triggered by other triggering conditions.

NOTE 3: If a HARQ process is configured with *cg-RetransmissionTimer* and if the PHR is already included in a MAC PDU for transmission by this HARQ process, but not yet transmitted by lower layers, it is up to UE implementation how to handle the PHR content.

If the MAC entity has UL resources allocated for a new transmission the MAC entity shall:

1> if it is the first UL resource allocated for a new transmission since the last MAC reset:

2> start *phr-PeriodicTimer*;

1> if the Power Headroom reporting procedure determines that at least one PHR has been triggered and not cancelled; and

1> if the allocated UL resources can accommodate the MAC CE for PHR which the MAC entity is configured to transmit, plus its subheader, as a result of LCP as defined in clause 5.4.3.1:

2> if *multiplePHR* with value *true* is configured:

3> for each activated Serving Cell with configured uplink associated with any MAC entity:

4> obtain the value of the Type 1 or Type 3 power headroom for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6];

4> if this MAC entity has UL resources allocated for transmission on this Serving Cell; or

4> if the other MAC entity, if configured, has UL resources allocated for transmission on this Serving Cell and *phr-ModeOtherCG* is set to *real* by upper layers:

5> obtain the value for the corresponding PCMAX,f,c field from the physical layer.

3> if *phr-Type2OtherCell* with value *true* is configured:

4> if the other MAC entity is E-UTRA MAC entity:

5> obtain the value of the Type 2 power headroom for the SpCell of the other MAC entity (i.e. E-UTRA MAC entity);

5> if *phr-ModeOtherCG* is set to *real* by upper layers:

6> obtain the value for the corresponding PCMAX,f,c field for the SpCell of the other MAC entity (i.e. E-UTRA MAC entity) from the physical layer.

3> instruct the Multiplexing and Assembly procedure to generate and transmit the Multiple Entry PHR MAC CE as defined in clause 6.1.3.9 based on the values reported by the physical layer.

2> else (i.e. Single Entry PHR format is used):

3> obtain the value of the Type 1 power headroom from the physical layer for the corresponding uplink carrier of the PCell;

3> obtain the value for the corresponding PCMAX,f,c field from the physical layer;

3> instruct the Multiplexing and Assembly procedure to generate and transmit the Single Entry PHR MAC CE as defined in clause 6.1.3.8 based on the values reported by the physical layer.

2> start or restart *phr-PeriodicTimer*;

2> start or restart *phr-ProhibitTimer*;

2> cancel all triggered PHR(s).

## 5.5 PCH reception

When the MAC entity needs to receive PCH, the MAC entity shall:

1> if a PCH assignment has been received on the PDCCH for the P-RNTI:

2> attempt to decode the TB on the PCH as indicated by the PDCCH information;

2> if the TB on the PCH has been successfully decoded:

3> deliver the decoded MAC PDU to upper layers.

## 5.6 BCH reception

When the MAC entity needs to receive BCH, the MAC entity shall:

1> receive and attempt to decode the BCH;

1> if a TB on the BCH has been successfully decoded:

2> deliver the decoded MAC PDU to upper layers.

## 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:

Editor’s Note: The agreement “drx-HARQ-RTT-TimerUL should not be started/restarted when LBT fails for PUSCH transmission with configured grant” is included here and because of the definition in section 5.X.

2> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first repetition 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, regardless of LBT failure indication from lower layers;

NOTE 1: When HARQ feedback is postponed by PDSCH-to-HARQ\_feedback timing indicating a non-numerical k1 value, as specified in TS 38.213 [6], the corresponding transmission opportunity to send the DL HARQ feedback is indicated in a later PDCCH requesting the HARQ-ACK feedback.

Editor’s Note: The agreement “UE starts the drx-HARQ-RTT-TimerDL after the HARQ A/N transmission opportunity irrespective of the LBT outcome” is implemented above.

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

3> if the PDSCH-to-HARQ\_feedback timing indicate a non-numerical k1 value as specified in TS 38.213 [6]:

4> start the *drx-RetransmissionTimerDL* in the first symbol after the PDSCH transmission for the corresponding HARQ process.

Editor’s Note: The agreement “The drx-RetransmissionTimerDL is started after the PDSCH scheduled by non-numerical K1” is implemented above.

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 repetition of the corresponding PUSCH transmission, regardless of LBT failure indication from lower layers;

Editor’s Note: The agreement “drx-HARQ-RTT-TimerUL should be started/restarted regardless of the LBT outcome for PUSCH transmission with dynamic grant” is implemented here.

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 2: If a UE multiplexes a CSI configured on PUCCH with other overlapping UCI(s) according to the procedure specified in TS 38.213 [6] subclause 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).

## 5.8 Transmission and reception without dynamic scheduling

### 5.8.1 Downlink

Semi-Persistent Scheduling (SPS) is configured by RRC per Serving Cell and per BWP. Activation and deactivation of the DL SPS are independent among the Serving Cells.

For the DL SPS, a DL assignment is provided by PDCCH, and stored or cleared based on L1 signalling indicating SPS activation or deactivation.

RRC configures the following parameters when SPS is configured:

- *cs-RNTI*: CS-RNTI for activation, deactivation, and retransmission;

- *nrofHARQ-Processes*: the number of configured HARQ processes for SPS;

- *periodicity*: periodicity of configured downlink assignment for SPS.

When SPS is released by upper layers, all the corresponding configurations shall be released.

After a downlink assignment is configured for SPS, the MAC entity shall consider sequentially that the Nth downlink assignment occurs in the slot for which:

(*numberOfSlotsPerFrame* × SFN + slot number in the frame) =  
[(*numberOfSlotsPerFrame* × SFNstart time + slotstart time) + N × *periodicity* × *numberOfSlotsPerFrame* / 10] modulo (1024 × *numberOfSlotsPerFrame*)

where SFNstart time and slotstart time are the SFN and slot, respectively, of the first transmission of PDSCH where the configured downlink assignment was (re-)initialised.

### 5.8.2 Uplink

There are three types of transmission without dynamic grant:

- configured grant Type 1 where an uplink grant is provided by RRC, and stored as configured uplink grant;

- configured grant Type 2 where an uplink grant is provided by PDCCH, and stored or cleared as configured uplink grant based on L1 signalling indicating configured uplink grant activation or deactivation;

- retransmissions on a stored configured uplink grant of Type 1 or Type 2 configured with *cg-RetransmissionTimer*.

Type 1 and Type 2 are configured by RRC per Serving Cell and per BWP. Multiple configurations can be active simultaneously only on different Serving Cells. For Type 2, activation and deactivation are independent among the Serving Cells. For the same Serving Cell, the MAC entity is configured with either Type 1 or Type 2.

RRC configures the following parameters when the configured grant Type 1 is configured:

- *cs-RNTI*: CS-RNTI for retransmission;

- *periodicity*: periodicity of the configured grant Type 1;

- *timeDomainOffset*: Offset of a resource with respect to SFN = 0 in time domain;

- *timeDomainAllocation*: Allocation of configured uplink grant in time domain which contains *startSymbolAndLength* (i.e. *SLIV* in TS 38.214 [7]);

- *nrofHARQ-Processes*: the number of HARQ processes for configured grant.

RRC configures the following parameters when the configured grant Type 2 is configured:

- *cs-RNTI*: CS-RNTI for activation, deactivation, and retransmission;

- *periodicity*: periodicity of the configured grant Type 2;

- *nrofHARQ-Processes*: the number of HARQ processes for configured grant.

RRC configures the following parameters when retransmissions on configured uplink grant is configured:

- *cg-RetransmissionTimer*: the duration after a configured grant (re)transmission of a HARQ process when the UE shall not autonomously retransmit that HARQ process.

Upon configuration of a configured grant Type 1 for a Serving Cell by upper layers, the MAC entity shall:

1> store the uplink grant provided by upper layers as a configured uplink grant for the indicated Serving Cell;

1> initialise or re-initialise the configured uplink grant to start in the symbol according to *timeDomainOffset* and *S* (derived from *SLIV* as specified in TS 38.214 [7]), and to reoccur with *periodicity*.

After an uplink grant is configured for a configured grant Type 1, the MAC entity shall consider that the uplink grant recurs associated with each symbol for which:

[(SFN × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot*) + (slot number in the frame × *numberOfSymbolsPerSlot*) + symbol number in the slot] =  
 (*timeDomainOffset* × *numberOfSymbolsPerSlot* + *S* + N × *periodicity*) modulo (1024 × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot*), for all N >= 0.

After an uplink grant is configured for a configured grant Type 2, the MAC entity shall consider that the uplink grant recurs associated with each symbol for which:

[(SFN × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot*) + (slot number in the frame × *numberOfSymbolsPerSlot*) + symbol number in the slot] =  
[(SFNstart time × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot* + slotstart time × *numberOfSymbolsPerSlot* + symbolstart time) + N × *periodicity*] modulo (1024 × *numberOfSlotsPerFrame* × *numberOfSymbolsPerSlot*), for all N >= 0.

where SFNstart time, slotstart time, and symbolstart time are the SFN, slot, and symbol, respectively, of the first transmission opportunity of PUSCH where the configured uplink grant was (re-)initialised.

When a configured uplink grant is released by upper layers, all the corresponding configurations shall be released and all corresponding uplink grants shall be cleared.

The MAC entity shall:

1> if the configured uplink grant confirmation has been triggered and not cancelled; and

1> if the MAC entity has UL resources allocated for new transmission:

2> instruct the Multiplexing and Assembly procedure to generate a Configured Grant Confirmation MAC CE as defined in clause 6.1.3.7;

2> cancel the triggered configured uplink grant confirmation.

For a configured grant Type 2, the MAC entity shall clear the configured uplink grant immediately after first transmission of Configured Grant Confirmation MAC CE triggered by the configured uplink grant deactivation.

Retransmissions are done by:

- repetition of configured uplink grants; or

- receiving uplink grants addressed to CS-RNTI; or

- retransmission on configured uplink grants.

## 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.

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 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;

2> cancel consistent LBT failure, if any, for the SCell.

Editor’s Note: This implements the agreement “UE cancels all UL LBT failures triggered for a SCell upon deactivation of 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.

Editor’s Note: The impact of the agreement “Upon UL transmission on configured grant, sCellDeactivationTimer is restarted as today (i.e. at LBT success)” is captured here according to definition in 5.X.

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.

## 5.10 Activation/Deactivation of PDCP duplication

If one or more DRBs are configured with PDCP duplication, the network may activate and deactivate the PDCP duplication for the configured DRB(s).

The PDCP duplication for the configured DRB(s) is activated and deactivated by:

- receiving the Duplication Activation/Deactivation MAC CE described in clause 6.1.3.11;

- indication by RRC.

The MAC entity shall for each DRB configured with PDCP duplication:

1> if a Duplication Activation/Deactivation MAC CE is received activating the PDCP duplication of the DRB:

2> indicate the activation of PDCP duplication of the DRB to upper layers.

1> if a Duplication Activation/Deactivation MAC CE is received deactivating the PDCP duplication of the DRB:

2> indicate the deactivation of PDCP duplication of the DRB to upper layers.

## 5.11 MAC reconfiguration

When a reconfiguration of the MAC entity is requested by upper layers, the MAC entity shall:

1> initialize the corresponding HARQ entity upon addition of an SCell;

1> remove the corresponding HARQ entity upon removal of an SCell;

1> apply the new value for timers when the timer is (re)started;

1> apply the new maximum parameter value when counters are initialized;

1> apply immediately the configurations received from upper layers for other parameters.

## 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 RACH 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> cancel, if any, triggered consistent LBT failure;

Editor’s Note: This implements the agreement “UE cancels triggered UL LBT failures, if any, upon MAC reset affecting the corresponding serving cell.”

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*;

1> reset *LBT\_COUNTER*.

## 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 value, or an LCID 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 value which is not configured, the MAC entity shall at least:

1> discard the received subPDU.

## 5.14 Handling of measurement gaps

During a measurement gap, the MAC entity shall, on the Serving Cell(s) in the corresponding frequency range of the measurement gap configured by *measGapConfig* as specified in TS 38.331 [5]:

1> not perform the transmission of HARQ feedback, SR, and CSI;

1> not report SRS;

1> not transmit on UL-SCH except for Msg3 as specified in clause 5.4.2.2;

1> if the *ra-ResponseWindow* or the *ra-ContentionResolutionTimer* is running:

2> monitor the PDCCH as specified in clauses 5.1.4 and 5.1.5.

1> else:

2> not monitor the PDCCH;

2> not receive on DL-SCH.

## 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 or upon detection of consistent LBT failure on SpCell. 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.

Editor’s Note: Above impact from agreement “UL LBT failures are detected per BWP”,

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

1> if a BWP is activated:

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;

2> if consistent LBT failure recovery is configured:

3> stop the *lbt-FailureDetectionTimer*, if running;

3> set *LBT\_COUNTER* to 0;

3> monitor LBT failure indications from lower layers as specified in clause 5.X.2.

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;

2> not monitor LBT failure indications from lower layers.

Editor’s Note: Impact on BWP activation and deactivation are due to the agreements on the LBT failure recovery mechanism at RAN2#107bis.

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> cancel, if any, declared consistent LBT failure for this Serving Cell;

Editor’s Note: This implements “BWP switching DCI” part of agreement “UE cancels a triggered UL LBT failure upon BWP switching on the corresponding serving cell caused by reception of BWP switching DCI or RRC signalling.”.

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 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.

Upon reception of RRC (re-)configuration for BWP switching for a Serving Cell, any triggered LBT failure in this Serving Cell shall be cancelled.

Editor’s Note: This implements “RRC signalling” part of agreement “UE cancels a triggered UL LBT failure upon BWP switching on the corresponding serving cell caused by reception of BWP switching DCI or RRC signalling.”.

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*:

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.

Editor’s Note: The impact of the agreement “Upon UL transmission on configured grant, bwp-InactivityTimer is restarted as today (i.e. at LBT success)” is captured here due to definition in 5.X.

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*:

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

## 5.16 SUL operation

The Supplementary UL (SUL) carrier can be configured as a complement to the normal UL (NUL) carrier. Switching between the NUL carrier and the SUL carrier means that the UL transmissions move from one carrier to the other carrier, which is done by:

- an indication in DCI;

- the Random Access procedure as specified in clause 5.1.1.

If the MAC entity receives a UL grant indicating an SUL switch while a Random Access procedure is ongoing, the MAC entity shall ignore the UL grant.

The Serving Cell configured with *supplementaryUplink* belongs to a single TAG.

## 5.17 Beam Failure Detection and Recovery procedure

The MAC entity may be configured by RRC with a beam failure recovery procedure which is used for indicating to the serving gNB of a new SSB or CSI-RS when beam failure is detected on the serving SSB(s)/CSI-RS(s). Beam failure is detected by counting beam failure instance indication from the lower layers to the MAC entity. If *beamFailureRecoveryConfig* is reconfigured by upper layers during an ongoing Random Access procedure for beam failure recovery, the MAC entity shall stop the ongoing Random Access procedure and initiate a Random Access procedure using the new configuration.

RRC configures the following parameters in the *BeamFailureRecoveryConfig* and the *RadioLinkMonitoringConfig* for the Beam Failure Detection and Recovery procedure:

- *beamFailureInstanceMaxCount* for the beam failure detection;

- *beamFailureDetectionTimer* for the beam failure detection;

- *beamFailureRecoveryTimer* for the beam failure recovery procedure;

- *rsrp-ThresholdSSB*: an RSRP threshold for the beam failure recovery;

- *powerRampingStep*: *powerRampingStep* for the beam failure recovery;

- *powerRampingStepHighPriority*: *powerRampingStepHighPriority* for the beam failure recovery;

- *preambleReceivedTargetPower*: *preambleReceivedTargetPower* for the beam failure recovery;

- *preambleTransMax*: *preambleTransMax* for the beam failure recovery;

- *scalingFactorBI*: *scalingFactorBI* for the beam failure recovery;

- *ssb-perRACH-Occasion*: *ssb-perRACH-Occasion* for the beam failure recovery;

- *ra-ResponseWindow*: the time window to monitor response(s) for the beam failure recovery using contention-free Random Access Preamble;

- *prach-ConfigurationIndex*: *prach-ConfigurationIndex* for the beam failure recovery;

- *ra-ssb-OccasionMaskIndex*: *ra-ssb-OccasionMaskIndex* for the beam failure recovery;

- *ra-OccasionList*: *ra-OccasionList* for the beam failure recovery.

The following UE variables are used for the beam failure detection procedure:

- *BFI\_COUNTER*: counter for beam failure instance indication which is initially set to 0.

The MAC entity shall:

1> if beam failure instance indication has been received from lower layers:

2> start or restart the *beamFailureDetectionTimer*;

2> increment *BFI\_COUNTER* by 1;

2> if *BFI\_COUNTER* >= *beamFailureInstanceMaxCount*:

3> initiate a Random Access procedure (see clause 5.1) on the SpCell.

1> if the *beamFailureDetectionTimer* expires; or

1> if *beamFailureDetectionTimer*, *beamFailureInstanceMaxCount*, or any of the reference signals used for beam failure detection is reconfigured by upper layers:

2> set *BFI\_COUNTER* to 0.

1> if the Random Access procedure is successfully completed (see clause 5.1):

2> set *BFI\_COUNTER* to 0;

2> stop the *beamFailureRecoveryTimer*, if configured;

2> consider the Beam Failure Recovery procedure successfully completed.

## 5.18 Handling of MAC CEs

### 5.18.1 General

This clause specifies the requirements upon reception of the following MAC CEs:

- SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE;

- Aperiodic CSI Trigger State Subselection MAC CE;

- TCI States Activation/Deactivation for UE-specific PDSCH MAC CE;

- TCI State Indication for UE-specific PDCCH MAC CE;

- SP CSI reporting on PUCCH Activation/Deactivation MAC CE;

- SP SRS Activation/Deactivation MAC CE;

- PUCCH spatial relation Activation/Deactivation MAC CE;

- SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE;

- Recommended Bit Rate MAC CE.

### 5.18.2 Activation/Deactivation of Semi-persistent CSI-RS/CSI-IM resource set

The network may activate and deactivate the configured Semi-persistent CSI-RS/CSI-IM resource sets of a Serving Cell by sending the SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE described in clause 6.1.3.12. The configured Semi-persistent CSI-RS/CSI-IM resource sets are initially deactivated upon configuration and after a handover.

The MAC entity shall:

1> if the MAC entity receives an SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE.

### 5.18.3 Aperiodic CSI Trigger State Subselection

The network may select among the configured aperiodic CSI trigger states of a Serving Cell by sending the Aperiodic CSI Trigger State Subselection MAC CE described in clause 6.1.3.13.

The MAC entity shall:

1> if the MAC entity receives an Aperiodic CSI trigger State Subselection MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding Aperiodic CSI trigger State Subselection MAC CE.

### 5.18.4 Activation/Deactivation of UE-specific PDSCH TCI state

The network may activate and deactivate the configured TCI states for PDSCH of a Serving Cell by sending the TCI States Activation/Deactivation for UE-specific PDSCH MAC CE described in clause 6.1.3.14. The configured TCI states for PDSCH are initially deactivated upon configuration and after a handover.

The MAC entity shall:

1> if the MAC entity receives a TCI States Activation/Deactivation for UE-specific PDSCH MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the TCI States Activation/Deactivation for UE-specific PDSCH MAC CE.

### 5.18.5 Indication of TCI state for UE-specific PDCCH

The network may indicate a TCI state for PDCCH reception for a CORESET of a Serving Cell by sending the TCI State Indication for UE-specific PDCCH MAC CE described in clause 6.1.3.15.

The MAC entity shall:

1> if the MAC entity receives a TCI State Indication for UE-specific PDCCH MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the TCI State Indication for UE-specific PDCCH MAC CE.

### 5.18.6 Activation/Deactivation of Semi-persistent CSI reporting on PUCCH

The network may activate and deactivate the configured Semi-persistent CSI reporting on PUCCH of a Serving Cell by sending the SP CSI reporting on PUCCH Activation/Deactivation MAC CE described in clause 6.1.3.16. The configured Semi-persistent CSI reporting on PUCCH is initially deactivated upon configuration and after a handover.

The MAC entity shall:

1> if the MAC entity receives an SP CSI reporting on PUCCH Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the SP CSI reporting on PUCCH Activation/Deactivation MAC CE.

### 5.18.7 Activation/Deactivation of Semi-persistent SRS

The network may activate and deactivate the configured Semi-persistent SRS resource sets of a Serving Cell by sending the SP SRS Activation/Deactivation MAC CE described in clause 6.1.3.17. The configured Semi-persistent SRS resource sets are initially deactivated upon configuration and after a handover.

The MAC entity shall:

1> if the MAC entity receives an SP SRS Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the SP SRS Activation/Deactivation MAC CE.

### 5.18.8 Activation/Deactivation of spatial relation of PUCCH resource

The network may activate and deactivate a spatial relation for a PUCCH resource of a Serving Cell by sending the PUCCH spatial relation Activation/Deactivation MAC CE described in clause 6.1.3.18.

The MAC entity shall:

1> if the MAC entity receives a PUCCH spatial relation Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the PUCCH spatial relation Activation/Deactivation MAC CE.

### 5.18.9 Activation/Deactivation of semi-persistent ZP CSI-RS resource set

The network may activate and deactivate the configured Semi-persistent ZP CSI-RS resource set of a Serving Cell by sending the SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE described in clause 6.1.3.19. The configured Semi-persistent ZP CSI-RS resource sets are initially deactivated upon configuration and after a handover.

The MAC entity shall:

1> if the MAC entity receives an SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE.

### 5.18.10 Recommended Bit Rate

The recommended bit rate procedure is used to provide the MAC entity with information about the bit rate which the gNB recommends. The bit rate is the recommended bit rate of the physical layer. Averaging window of default value 2000 ms will apply as specified in TS 26.114 [13].

The gNB may transmit the Recommended bit rate MAC CE to the MAC entity to indicate the recommended bit rate for the UE for a specific logical channel and a specific direction (either uplink or downlink). Upon reception of a Recommended bit rate MAC CE the MAC entity shall:

- indicate to upper layers the recommended bit rate for the indicated logical channel and direction.

The MAC entity may request the gNB to indicate the recommended bit rate for a specific logical channel and a specific direction. If the MAC entity is requested by upper layers to query the gNB for the recommended bit rate for a logical channel and for a direction (i.e. for uplink or downlink), the MAC entity shall:

1> if a Recommended bit rate query for this logical channel and this direction has not been triggered:

2> trigger a Recommended bit rate query for this logical channel, direction, and desired bit rate.

If the MAC entity has UL resources allocated for new transmission the MAC entity shall:

1> for each Recommended bit rate query that the Recommended Bit Rate procedure determines has been triggered and not cancelled:

2> if *bitRateQueryProhibitTimer* for the logical channel and the direction of this Recommended bit rate query is configured, and it is not running; and

2> if the MAC entity has UL resources allocated for new transmission and the allocated UL resources can accommodate a Recommended bit rate MAC CE plus its subheader as a result of LCP as defined in clause 5.4.3.1:

3> instruct the Multiplexing and Assembly procedure to generate the Recommended bit rate MAC CE for the logical channel and the direction of this Recommended bit rate query;

3> start the *bitRateQueryProhibitTimer* for the logical channel and the direction of this Recommended bit rate query;

3> cancel this Recommended bit rate query.

## 5.19 Data inactivity monitoring

The UE may be configured by RRC with a Data inactivity monitoring functionality, when in RRC\_CONNECTED. RRC controls Data inactivity operation by configuring the timer *dataInactivityTimer*.

When *dataInactivityTimer* is configured, the UE shall:

1> if any MAC entity receives a MAC SDU for DTCH logical channel, DCCH logical channel, or CCCH logical channel; or

1> if any MAC entity transmits a MAC SDU for DTCH logical channel, or DCCH logical channel, regardless of LBT failure indication from lower layers:

2> start or restart *dataInactivityTimer*.

Editor’s Note: The impact of the agreement “dataInactivityTimer should be restarted when any MAC entity attempts transmission of a MAC SDU for DTCH logical channel, or DCCH logical channel regardless UL LBT outcome.” is captured here.

1> if the *dataInactivityTimer* expires:

2> indicate the expiry of the *dataInactivityTimer* to upper layers.

## 5.X LBT operation

### 5.X.1 General

The lower layer may perform an LBT procedure, see TS 37.213 [XX], according to which a transmission is not performed if the channel is identified as being occupied. When lower layer performs an LBT procedure before a transmission and the transmission is not performed, an LBT failure indication is sent to the MAC entity from lower layers. Unless otherwise specified, when LBT procedure is performed, actions related to "is transmitted" and "transmission is performed" shall not be performed if an LBT failure indication is received from lower layers.

Editor’s Note: This introduces LBT procedures and implements the last part of agreement “As earlier agreed, The POWER\_RAMPING\_COUNTER is not increased if the preamble is not transmitted due to LBT failure. For this purpose LBT failure indication or equiv. (used for other LBT outcome dependencies) from PHY is used.” and agreement “MAC relies on reception of a notification of UL LBT failure from the physical layer to detect a consistent UL LBT failure”.

### 5.X.2 LBT failure detection and recovery procedure

The MAC entity may be configured by RRC with a consistent LBT failure recovery procedure. Consistent LBT failure is detected per UL BWP by counting LBT failure indications, for all UL transmissions, from the lower layers to the MAC entity.

RRC configures the following parameters in the *lbt-FailureRecoveryConfig*:

- *lbt-FailureInstanceMaxCount* for the consistent LBT failure detection;

- *lbt-FailureDetectionTimer* for the consistent LBT failure detection;

The following UE variable is used for the consistent LBT failure detection procedure:

- *LBT\_COUNTER*: counter for LBT failure indication which is initially set to 0.

For each activated Serving Cell configured with *lbt-FailureRecoveryConfig,* the MAC entity shall:

1> if LBT failure indication has been received from lower layers:

2> start or restart the *lbt-FailureDetectionTimer*;

2> increment *LBT\_COUNTER* by 1;

2> if *LBT\_COUNTER* >= *lbt-FailureInstanceMaxCount*:

3> trigger consistent LBT failure for the active UL BWP in this Serving Cell;

3> if this Serving Cell is the SpCell:

4> if consistent LBT failure has been triggered in all UL BWPs configured with PRACH occasions on same carrier in this Serving Cell:

Editor’s Note: This captures agreement “UE can switch only to BWPs with PRACH on the same UL (e.g. NUL or SUL) on which UL LBT failure was detected, upon detecting an LBT failure on SpCell”.

5> indicate consistent LBT failure to upper layers.

Editor’s Note: This is for PCell or PSCell and shall trigger RLF if in PCell, or SCG RLF if in PSCell. Procedural text in section 5.3.10.3 of 38.331 is needed for this.  
This captures three agreements   
“The UE shall perform RLF recovery if the consistent UL LBT failure was detected on the PCell and UL LBT failure was detected on “N” possible BWP.”,  
“When consistent uplink LBT failures are detected on the PSCell, the UE informs MN via the SCG failure information procedure after detecting a consistent UL LBT failure on “N” BWPs.” and  
““N” is the number of configured BWPs with configured PRACH resources. If N is larger than one it is up to the UE implementation which BWP the UE selects.”.

4> else:

5> stop any ongoing Random Access procedure in this Serving Cell;

Editor’s Note: This captures agreement “the UE shall stop any ongoing RA procedure and initiate a new RA procedure after BWP switching caused by LBT failure detection on SpCell.”.

5> switch the active UL BWP to an UL BWP, on same carrier in this Serving Cell, configured with PRACH occasion and for which consistent LBT failure has not been triggered;

Editor’s Note: This captures agreement “UE can switch only to BWPs with PRACH on the same UL (e.g. NUL or SUL) on which UL LBT failure was detected, upon detecting an LBT failure on SpCell”.

5> initiate a Random Access Procedure (as specified in clause 5.1.1).

Editor’s Note: This captures agreement “The UE switches to another BWP and initiates RACH upon declaration of consistent LBT failure on PCell or PSCell if there is another BWP with configured RACH resources.”.

1> if the *lbt-FailureDetectionTimer* expires; or

1> if *lbt-FailureDetectionTimer* or *lbt-FailureInstanceMaxCount* is reconfigured by upper layers:

2> set *LBT\_COUNTER* to 0.

The MAC entity shall:

1> if consistent LBT failure has been triggered, and not cancelled, in the SpCell; and

1> if UL-SCH resources are available for a new transmission in the SpCell and these UL-SCH resources can accommodate the LBT failure MAC CE plus its subheader as a result of logical channel prioritization:

2> instruct the Multiplexing and Assembly procedure to generate the LBT failure MAC CE.

Editor’s Note: This captures the agreement   
“When consistent UL LBT failure is declared on SpCell, UE triggers MAC CE to indicate where failure happened. The MAC CE is sent on the BWP that the UE switched to during RA procedure.”

1> else if consistent LBT failure has been triggered, and not cancelled, in at least one SCell:

2> if UL-SCH resources are available for a new transmission in a Serving Cell for which consistent LBT failure has not been triggered and these UL-SCH resources can accommodate the LBT failure MAC CE plus its subheader as a result of logical channel prioritization:

Editor’s Note: Above line captures the agreement   
“The MAC CE should be transmitted on a different serving cell other than the SCell which has the UL LBT problem”.

3> instruct the Multiplexing and Assembly procedure to generate the LBT failure MAC CE.

2> else:

3> trigger a Scheduling Request for LBT failure MAC CE.

Editor’s Note: This captures the agreement  
“When consistent uplink LBT failures are detected on an SCell, a new MAC CE to report this to the node where SCell belongs to is used. FFS whether the MAC CE can be used to report failure on PCell”  
and the agreement  
“UE can trigger SR if there is no available UL resources for sending the MAC CE for SCell UL LBT problem, using the same framework as BFR.”

1> if a MAC PDU is transmitted and this PDU includes the LBT failure MAC CE:

2> cancel the triggered consistent LBT failure in an SCell(s) indicating consistent LBT failure in the transmitted LBT failure MAC CE.

Editor’s Note: This implements the agreement   
“The UE cancels a triggered UL LBT failure for SCell upon successful transmission of an LBT failure MAC CE indicating the cell, where transmission is successful only if LBT was successful at PHY”

1> if consistent LBT failure is triggered and not cancelled in the active UL BWP of the SpCell; and

1> the Random Access Contention Resolution is considered successfully completed (see clause 5.1) in the SpCell:

2> cancel the triggered consistent LBT failure(s) in the SpCell.

Editor’s Note: This implements the agreement “UE cancels an UL LBT failure triggered for SpCell upon successful completion of the RA procedure initiated after BWP switching due to the detected LBT failure.”

# 6 Protocol Data Units, formats and parameters

## 6.1 Protocol Data Units

### 6.1.1 General

A MAC PDU is a bit string that is byte aligned (i.e. multiple of 8 bits) in length. In the figures in clause 6, bit strings are represented by tables in which the most significant bit is the leftmost bit of the first line of the table, the least significant bit is the rightmost bit on the last line of the table, and more generally the bit string is to be read from left to right and then in the reading order of the lines. The bit order of each parameter field within a MAC PDU is represented with the first and most significant bit in the leftmost bit and the last and least significant bit in the rightmost bit.

A MAC SDU is a bit string that is byte aligned (i.e. multiple of 8 bits) in length. A MAC SDU is included into a MAC PDU from the first bit onward.

A MAC CE is a bit string that is byte aligned (i.e. multiple of 8 bits) in length.

A MAC subheader is a bit string that is byte aligned (i.e. multiple of 8 bits) in length. Each MAC subheader is placed immediately in front of the corresponding MAC SDU, MAC CE, or padding.

The MAC entity shall ignore the value of the Reserved bits in downlink MAC PDUs.

### 6.1.2 MAC PDU (DL-SCH and UL-SCH except transparent MAC and Random Access Response)

A MAC PDU consists of one or more MAC subPDUs. Each MAC subPDU consists of one of the following:

- A MAC subheader only (including padding);

- A MAC subheader and a MAC SDU;

- A MAC subheader and a MAC CE;

- A MAC subheader and padding.

The MAC SDUs are of variable sizes.

Each MAC subheader corresponds to either a MAC SDU, a MAC CE, or padding.

A MAC subheader except for fixed sized MAC CE, padding, and a MAC SDU containing UL CCCH consists of the four header fields R/F/LCID/L. A MAC subheader for fixed sized MAC CE, padding, and a MAC SDU containing UL CCCH consists of the two header fields R/LCID.



Figure 6.1.2-1: R/F/LCID/L MAC subheader with 8-bit L field



Figure 6.1.2-2: R/F/LCID/L MAC subheader with 16-bit L field



Figure 6.1.2-3: R/LCID MAC subheader

MAC CEs are placed together. DL MAC subPDU(s) with MAC CE(s) is placed before any MAC subPDU with MAC SDU and MAC subPDU with padding as depicted in Figure 6.1.2-4. UL MAC subPDU(s) with MAC CE(s) is placed after all the MAC subPDU(s) with MAC SDU and before the MAC subPDU with padding in the MAC PDU as depicted in Figure 6.1.2-5. The size of padding can be zero.



Figure 6.1.2-4: Example of a DL MAC PDU



Figure 6.1.2-5: Example of a UL MAC PDU

A maximum of one MAC PDU can be transmitted per TB per MAC entity.

### 6.1.3 MAC Control Elements (CEs)

#### 6.1.3.1 Buffer Status Report MAC CEs

Buffer Status Report (BSR) MAC CEs consist of either:

- Short BSR format (fixed size); or

- Long BSR format (variable size); or

- Short Truncated BSR format (fixed size); or

- Long Truncated BSR format (variable size).

The BSR formats are identified by MAC subheaders with LCIDs as specified in Table 6.2.1-2.

The fields in the BSR MAC CE are defined as follows:

- LCG ID: The Logical Channel Group ID field identifies the group of logical channel(s) whose buffer status is being reported. The length of the field is 3 bits;

- LCGi: For the Long BSR format, this field indicates the presence of the Buffer Size field for the logical channel group i. The LCGi field set to 1 indicates that the Buffer Size field for the logical channel group i is reported. The LCGi field set to 0 indicates that the Buffer Size field for the logical channel group i is not reported. For the Long Truncated BSR format, this field indicates whether logical channel group i has data available. The LCGi field set to 1 indicates that logical channel group i has data available. The LCGi field set to 0 indicates that logical channel group i does not have data available;

- Buffer Size: The Buffer Size field identifies the total amount of data available according to the data volume calculation procedure in TSs 38.322 [3] and 38.323 [4] across all logical channels of a logical channel group after the MAC PDU has been built (i.e. after the logical channel prioritization procedure, which may result the value of the Buffer Size field to zero). The amount of data is indicated in number of bytes. The size of the RLC and MAC headers are not considered in the buffer size computation. The length of this field for the Short BSR format and the Short Truncated BSR format is 5 bits. The length of this field for the Long BSR format and the Long Truncated BSR format is 8 bits. The values for the 5-bit and 8-bit Buffer Size fields are shown in Tables 6.1.3.1-1 and 6.1.3.1-2, respectively. For the Long BSR format and the Long Truncated BSR format, the Buffer Size fields are included in ascending order based on the LCGi. For the Long Truncated BSR format the number of Buffer Size fields included is maximised, while not exceeding the number of padding bits.

NOTE: The number of the Buffer Size fields in the Long BSR and Long Truncated BSR format can be zero.



Figure 6.1.3.1-1: Short BSR and Short Truncated BSR MAC CE



Figure 6.1.3.1-2: Long BSR and Long Truncated BSR MAC CE

Table 6.1.3.1-1: Buffer size levels (in bytes) for 5-bit Buffer Size field

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Index | BS value | Index | BS value | Index | BS value | Index | BS value |
| 0 | 0 | 8 | ≤ 102 | 16 | ≤ 1446 | 24 | ≤ 20516 |
| 1 | ≤ 10 | 9 | ≤ 142 | 17 | ≤ 2014 | 25 | ≤ 28581 |
| 2 | ≤ 14 | 10 | ≤ 198 | 18 | ≤ 2806 | 26 | ≤ 39818 |
| 3 | ≤ 20 | 11 | ≤ 276 | 19 | ≤ 3909 | 27 | ≤ 55474 |
| 4 | ≤ 28 | 12 | ≤ 384 | 20 | ≤ 5446 | 28 | ≤ 77284 |
| 5 | ≤ 38 | 13 | ≤ 535 | 21 | ≤ 7587 | 29 | ≤ 107669 |
| 6 | ≤ 53 | 14 | ≤ 745 | 22 | ≤ 10570 | 30 | ≤ 150000 |
| 7 | ≤ 74 | 15 | ≤ 1038 | 23 | ≤ 14726 | 31 | > 150000 |

Table 6.1.3.1-2: Buffer size levels (in bytes) for 8-bit Buffer Size field

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Index | BS value | Index | BS value | Index | BS value | Index | BS value |
| 0 | 0 | 64 | ≤ 560 | 128 | ≤ 31342 | 192 | ≤ 1754595 |
| 1 | ≤ 10 | 65 | ≤ 597 | 129 | ≤ 33376 | 193 | ≤ 1868488 |
| 2 | ≤ 11 | 66 | ≤ 635 | 130 | ≤ 35543 | 194 | ≤ 1989774 |
| 3 | ≤ 12 | 67 | ≤ 677 | 131 | ≤ 37850 | 195 | ≤ 2118933 |
| 4 | ≤ 13 | 68 | ≤ 720 | 132 | ≤ 40307 | 196 | ≤ 2256475 |
| 5 | ≤ 14 | 69 | ≤ 767 | 133 | ≤ 42923 | 197 | ≤ 2402946 |
| 6 | ≤ 15 | 70 | ≤ 817 | 134 | ≤ 45709 | 198 | ≤ 2558924 |
| 7 | ≤ 16 | 71 | ≤ 870 | 135 | ≤ 48676 | 199 | ≤ 2725027 |
| 8 | ≤ 17 | 72 | ≤ 926 | 136 | ≤ 51836 | 200 | ≤ 2901912 |
| 9 | ≤ 18 | 73 | ≤ 987 | 137 | ≤ 55200 | 201 | ≤ 3090279 |
| 10 | ≤ 19 | 74 | ≤ 1051 | 138 | ≤ 58784 | 202 | ≤ 3290873 |
| 11 | ≤ 20 | 75 | ≤ 1119 | 139 | ≤ 62599 | 203 | ≤ 3504487 |
| 12 | ≤ 22 | 76 | ≤ 1191 | 140 | ≤ 66663 | 204 | ≤ 3731968 |
| 13 | ≤ 23 | 77 | ≤ 1269 | 141 | ≤ 70990 | 205 | ≤ 3974215 |
| 14 | ≤ 25 | 78 | ≤ 1351 | 142 | ≤ 75598 | 206 | ≤ 4232186 |
| 15 | ≤ 26 | 79 | ≤ 1439 | 143 | ≤ 80505 | 207 | ≤ 4506902 |
| 16 | ≤ 28 | 80 | ≤ 1532 | 144 | ≤ 85730 | 208 | ≤ 4799451 |
| 17 | ≤ 30 | 81 | ≤ 1631 | 145 | ≤ 91295 | 209 | ≤ 5110989 |
| 18 | ≤ 32 | 82 | ≤ 1737 | 146 | ≤ 97221 | 210 | ≤ 5442750 |
| 19 | ≤ 34 | 83 | ≤ 1850 | 147 | ≤ 103532 | 211 | ≤ 5796046 |
| 20 | ≤ 36 | 84 | ≤ 1970 | 148 | ≤ 110252 | 212 | ≤ 6172275 |
| 21 | ≤ 38 | 85 | ≤ 2098 | 149 | ≤ 117409 | 213 | ≤ 6572925 |
| 22 | ≤ 40 | 86 | ≤ 2234 | 150 | ≤ 125030 | 214 | ≤ 6999582 |
| 23 | ≤ 43 | 87 | ≤ 2379 | 151 | ≤ 133146 | 215 | ≤ 7453933 |
| 24 | ≤ 46 | 88 | ≤ 2533 | 152 | ≤ 141789 | 216 | ≤ 7937777 |
| 25 | ≤ 49 | 89 | ≤ 2698 | 153 | ≤ 150992 | 217 | ≤ 8453028 |
| 26 | ≤ 52 | 90 | ≤ 2873 | 154 | ≤ 160793 | 218 | ≤ 9001725 |
| 27 | ≤ 55 | 91 | ≤ 3059 | 155 | ≤ 171231 | 219 | ≤ 9586039 |
| 28 | ≤ 59 | 92 | ≤ 3258 | 156 | ≤ 182345 | 220 | ≤ 10208280 |
| 29 | ≤ 62 | 93 | ≤ 3469 | 157 | ≤ 194182 | 221 | ≤ 10870913 |
| 30 | ≤ 66 | 94 | ≤ 3694 | 158 | ≤ 206786 | 222 | ≤ 11576557 |
| 31 | ≤ 71 | 95 | ≤ 3934 | 159 | ≤ 220209 | 223 | ≤ 12328006 |
| 32 | ≤ 75 | 96 | ≤ 4189 | 160 | ≤ 234503 | 224 | ≤ 13128233 |
| 33 | ≤ 80 | 97 | ≤ 4461 | 161 | ≤ 249725 | 225 | ≤ 13980403 |
| 34 | ≤ 85 | 98 | ≤ 4751 | 162 | ≤ 265935 | 226 | ≤ 14887889 |
| 35 | ≤ 91 | 99 | ≤ 5059 | 163 | ≤ 283197 | 227 | ≤ 15854280 |
| 36 | ≤ 97 | 100 | ≤ 5387 | 164 | ≤ 301579 | 228 | ≤ 16883401 |
| 37 | ≤ 103 | 101 | ≤ 5737 | 165 | ≤ 321155 | 229 | ≤ 17979324 |
| 38 | ≤ 110 | 102 | ≤ 6109 | 166 | ≤ 342002 | 230 | ≤ 19146385 |
| 39 | ≤ 117 | 103 | ≤ 6506 | 167 | ≤ 364202 | 231 | ≤ 20389201 |
| 40 | ≤ 124 | 104 | ≤ 6928 | 168 | ≤ 387842 | 232 | ≤ 21712690 |
| 41 | ≤ 132 | 105 | ≤ 7378 | 169 | ≤ 413018 | 233 | ≤ 23122088 |
| 42 | ≤ 141 | 106 | ≤ 7857 | 170 | ≤ 439827 | 234 | ≤ 24622972 |
| 43 | ≤ 150 | 107 | ≤ 8367 | 171 | ≤ 468377 | 235 | ≤ 26221280 |
| 44 | ≤ 160 | 108 | ≤ 8910 | 172 | ≤ 498780 | 236 | ≤ 27923336 |
| 45 | ≤ 170 | 109 | ≤ 9488 | 173 | ≤ 531156 | 237 | ≤ 29735875 |
| 46 | ≤ 181 | 110 | ≤ 10104 | 174 | ≤ 565634 | 238 | ≤ 31666069 |
| 47 | ≤ 193 | 111 | ≤ 10760 | 175 | ≤ 602350 | 239 | ≤ 33721553 |
| 48 | ≤ 205 | 112 | ≤ 11458 | 176 | ≤ 641449 | 240 | ≤ 35910462 |
| 49 | ≤ 218 | 113 | ≤ 12202 | 177 | ≤ 683087 | 241 | ≤ 38241455 |
| 50 | ≤ 233 | 114 | ≤ 12994 | 178 | ≤ 727427 | 242 | ≤ 40723756 |
| 51 | ≤ 248 | 115 | ≤ 13838 | 179 | ≤ 774645 | 243 | ≤ 43367187 |
| 52 | ≤ 264 | 116 | ≤ 14736 | 180 | ≤ 824928 | 244 | ≤ 46182206 |
| 53 | ≤ 281 | 117 | ≤ 15692 | 181 | ≤ 878475 | 245 | ≤ 49179951 |
| 54 | ≤ 299 | 118 | ≤ 16711 | 182 | ≤ 935498 | 246 | ≤ 52372284 |
| 55 | ≤ 318 | 119 | ≤ 17795 | 183 | ≤ 996222 | 247 | ≤ 55771835 |
| 56 | ≤ 339 | 120 | ≤ 18951 | 184 | ≤ 1060888 | 248 | ≤ 59392055 |
| 57 | ≤ 361 | 121 | ≤ 20181 | 185 | ≤ 1129752 | 249 | ≤ 63247269 |
| 58 | ≤ 384 | 122 | ≤ 21491 | 186 | ≤ 1203085 | 250 | ≤ 67352729 |
| 59 | ≤ 409 | 123 | ≤ 22885 | 187 | ≤ 1281179 | 251 | ≤ 71724679 |
| 60 | ≤ 436 | 124 | ≤ 24371 | 188 | ≤ 1364342 | 252 | ≤ 76380419 |
| 61 | ≤ 464 | 125 | ≤ 25953 | 189 | ≤ 1452903 | 253 | ≤ 81338368 |
| 62 | ≤ 494 | 126 | ≤ 27638 | 190 | ≤ 1547213 | 254 | > 81338368 |
| 63 | ≤ 526 | 127 | ≤ 29431 | 191 | ≤ 1647644 | 255 | Reserved |

#### 6.1.3.2 C-RNTI MAC CE

The C-RNTI MAC CE is identified by MAC subheader with LCID as specified in Table 6.2.1-2.

It has a fixed size and consists of a single field defined as follows (Figure 6.1.3.2-1):

- C-RNTI: This field contains the C-RNTI of the MAC entity. The length of the field is 16 bits.



Figure 6.1.3.2-1: C-RNTI MAC CE

#### 6.1.3.3 UE Contention Resolution Identity MAC CE

The UE Contention Resolution Identity MAC CE is identified by MAC subheader with LCID as specified in Table 6.2.1-1.

It has a fixed 48-bit size and consists of a single field defined as follows (Figure 6.1.3.3-1):

- UE Contention Resolution Identity: This field contains the UL CCCH SDU. If the UL CCCH SDU is longer than 48 bits, this field contains the first 48 bits of the UL CCCH SDU.



Figure 6.1.3.3-1: UE Contention Resolution Identity MAC CE

#### 6.1.3.4 Timing Advance Command MAC CE

The Timing Advance Command MAC CE is identified by MAC subheader with LCID as specified in Table 6.2.1-1.

It has a fixed size and consists of a single octet defined as follows (Figure 6.1.3.4-1):

- TAG Identity (TAG ID): This field indicates the TAG Identity of the addressed TAG. The TAG containing the SpCell has the TAG Identity 0. The length of the field is 2 bits;

- Timing Advance Command: This field indicates the index value *TA* (0, 1, 2… 63) used to control the amount of timing adjustment that MAC entity has to apply (as specified in TS 38.213 [6]). The length of the field is 6 bits.



Figure 6.1.3.4-1: Timing Advance Command MAC CE

#### 6.1.3.5 DRX Command MAC CE

The DRX Command MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1.

It has a fixed size of zero bits.

#### 6.1.3.6 Long DRX Command MAC CE

The Long DRX Command MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1.

It has a fixed size of zero bits.

#### 6.1.3.7 Configured Grant Confirmation MAC CE

The Configured Grant Confirmation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-2.

It has a fixed size of zero bits.

#### 6.1.3.8 Single Entry PHR MAC CE

The Single Entry PHR MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-2.

It has a fixed size and consists of two octets defined as follows (figure 6.1.3.8-1):

- R: Reserved bit, set to 0;

- Power Headroom (PH): This field indicates the power headroom level. The length of the field is 6 bits. The reported PH and the corresponding power headroom levels are shown in Table 6.1.3.8-1 below (the corresponding measured values in dB are specified in TS 38.133 [11]);

- PCMAX,f,c: This field indicates the PCMAX,f,c (as specified in TS 38.213 [6]) used for calculation of the preceding PH field. The reported PCMAX,f,c and the corresponding nominal UE transmit power levels are shown in Table 6.1.3.8-2 (the corresponding measured values in dBm are specified in TS 38.133 [11]).



Figure 6.1.3.8-1: Single Entry PHR MAC CE

Table 6.1.3.8-1: Power Headroom levels for PHR

|  |  |
| --- | --- |
| PH | Power Headroom Level |
| 0 | POWER\_HEADROOM\_0 |
| 1 | POWER\_HEADROOM\_1 |
| 2 | POWER\_HEADROOM\_2 |
| 3 | POWER\_HEADROOM\_3 |
| … | … |
| 60 | POWER\_HEADROOM\_60 |
| 61 | POWER\_HEADROOM\_61 |
| 62 | POWER\_HEADROOM\_62 |
| 63 | POWER\_HEADROOM\_63 |

Table 6.1.3.8-2: Nominal UE transmit power level for PHR

|  |  |
| --- | --- |
| PCMAX,f,c | Nominal UE transmit power level |
| 0 | PCMAX\_C\_00 |
| 1 | PCMAX\_C\_01 |
| 2 | PCMAX\_C\_02 |
| … | … |
| 61 | PCMAX\_C\_61 |
| 62 | PCMAX\_C\_62 |
| 63 | PCMAX\_C\_63 |

#### 6.1.3.9 Multiple Entry PHR MAC CE

The Multiple Entry PHR MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-2.

It has a variable size, and includes the bitmap, a Type 2 PH field and an octet containing the associated PCMAX,f,c field (if reported) for SpCell of the other MAC entity, a Type 1 PH field and an octet containing the associated PCMAX,f,c field (if reported) for the PCell. It further includes, in ascending order based on the *ServCellIndex*, one or multiple of Type X PH fields and octets containing the associated PCMAX,f,c fields (if reported) for Serving Cells other than PCell indicated in the bitmap. X is either 1 or 3 according to TS 38.213 [6] and TS 36.213 [17].

The presence of Type 2 PH field for SpCell of the other MAC entity is configured by *phr-Type2OtherCell* with value *true*.

A single octet bitmap is used for indicating the presence of PH per Serving Cell when the highest *ServCellIndex* of Serving Cell with configured uplink is less than 8, otherwise four octets are used.

The MAC entity determines whether PH value for an activated Serving Cell is based on real transmission or a reference format by considering the configured grant(s) and downlink control information which has been received until and including the PDCCH occasion in which the first UL grant for a new transmission that can accommodate the MAC CE for PHR as a result of LCP as defined in clause 5.4.3.1 is received since a PHR has been triggered if the PHR MAC CE is reported on an uplink grant received on the PDCCH or until the first uplink symbol of PUSCH transmission minus PUSCH preparation time as defined in clause 7.7 of TS 38.213 [6] if the PHR MAC CE is reported on a configured grant.

For a band combination in which the UE does not support dynamic power sharing, the UE may omit the octets containing Power Headroom field and PCMAX,f,c field for Serving Cells in the other MAC entity except for the PCell in the other MAC entity and the reported values of Power Headroom and PCMAX,f,c for the PCell are up to UE implementation.

The PHR MAC CEs are defined as follows:

- Ci: This field indicates the presence of a PH field for the Serving Cell with *ServCellIndex* i as specified in TS 38.331 [5]. The Ci field set to 1 indicates that a PH field for the Serving Cell with *ServCellIndex* i is reported. The Ci field set to 0 indicates that a PH field for the Serving Cell with *ServCellIndex* i is not reported;

- R: Reserved bit, set to 0;

- V: This field indicates if the PH value is based on a real transmission or a reference format. For Type 1 PH, the V field set to 0 indicates real transmission on PUSCH and the V field set to 1 indicates that a PUSCH reference format is used. For Type 2 PH, the V field set to 0 indicates real transmission on PUCCH and the V field set to 1 indicates that a PUCCH reference format is used. For Type 3 PH, the V field set to 0 indicates real transmission on SRS and the V field set to 1 indicates that an SRS reference format is used. Furthermore, for Type 1, Type 2, and Type 3 PH, the V field set to 0 indicates the presence of the octet containing the associated PCMAX,f,c field, and the V field set to 1 indicates that the octet containing the associated PCMAX,f,c field is omitted;

- Power Headroom (PH): This field indicates the power headroom level. The length of the field is 6 bits. The reported PH and the corresponding power headroom levels are shown in Table 6.1.3.8-1 (the corresponding measured values in dB for the NR Serving Cell are specified in TS 38.133 [11] while the corresponding measured values in dB for the E-UTRA Serving Cell are specified in TS 36.133 [12]);

- P: This field indicates whether the MAC entity applies power backoff due to power management (as allowed by P-MPRc as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16]). The MAC entity shall set the P field to 1 if the corresponding PCMAX,f,c field would have had a different value if no power backoff due to power management had been applied;

- PCMAX,f,c: If present, this field indicates the PCMAX,f,c (as specified in TS 38.213 [6]) for the NR Serving Cell and the PCMAX,c or P̃CMAX,c (as specified in TS 36.213 [17]) for the E-UTRA Serving Cell used for calculation of the preceding PH field. The reported PCMAX,f,c and the corresponding nominal UE transmit power levels are shown in Table 6.1.3.8-2 (the corresponding measured values in dBm for the NR Serving Cell are specified in TS 38.133 [11] while the corresponding measured values in dBm for the E-UTRA Serving Cell are specified in TS 36.133 [12]).



Figure 6.1.3.9-1: Multiple Entry PHR MAC CE with the highest *ServCellIndex* of Serving Cell with configured uplink is less than 8



Figure 6.1.3.9-2: Multiple Entry PHR MAC CE with the highest ServCellIndex of Serving Cell with configured uplink is equal to or higher than 8

#### 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. 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

#### 6.1.3.11 Duplication Activation/Deactivation MAC CE

The Duplication 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 eight D-fields. The Duplication Activation/Deactivation MAC CE is defined, for a MAC entity, as follows (Figure 6.1.3.11-1).

- Di: This field indicates the activation/deactivation status of the PDCP duplication of DRB i where i is the ascending order of the DRB ID among the DRBs configured with PDCP duplication and with RLC entity(ies) associated with this MAC entity. The Di field is set to 1 to indicate that the PDCP duplication of DRB i shall be activated. The Di field is set to 0 to indicate that the PDCP duplication of DRB i shall be deactivated.



Figure 6.1.3.11-1: Duplication Activation/Deactivation MAC CE

#### 6.1.3.12 SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE

The SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a variable size and consists of the following fields:

- A/D: This field indicates whether to activate or deactivate indicated SP CSI-RS and CSI-IM resource set(s). The field is set to 1 to indicate activation, otherwise it indicates deactivation;

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a DL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- SP CSI-RS resource set ID: This field contains an index of *NZP-CSI-RS-ResourceSet* containing Semi Persistent NZP CSI-RS resources, as specified in TS 38.331 [5], indicating the Semi Persistent NZP CSI-RS resource set, which shall be activated or deactivated. The length of the field is 6 bits;

- IM: This field indicates the presence of the octet containing SP CSI-IM resource set ID field. If the IM field is set to 1, the octet containing SP CSI-IM resource set ID field is present. If IM field is set to 0, the octet containing SP CSI-IM resource set ID field is not present;

- SP CSI-IM resource set ID: This field contains an index of *CSI-IM-ResourceSet* containing Semi Persistent CSI-IM resources, as specified in TS 38.331 [5], indicating the Semi Persistent CSI-IM resource set, which shall be activated or deactivated. The length of the field is 6 bits;

- TCI State IDi: This field contains *TCI-StateId*, as specified in TS 38.331 [5], of a TCI State, which is used as QCL source for the resource within the Semi Persistent NZP CSI-RS resource set indicated by SP CSI-RS resource set ID field. TCI State ID0 indicates TCI State for the first resource within the set, TCI State ID1 for the second one and so on. The length of the field is 7 bits. If the A/D field is set to 0, the octets containing TCI State ID field(s) are not present;

- R: Reserved bit, set to 0.



Figure 6.1.3.12-1: SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE

#### 6.1.3.13 Aperiodic CSI Trigger State Subselection MAC CE

The Aperiodic CSI Trigger State Subselection MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a variable size consisting of following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a DL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- Ti: This field indicates the selection status of the Aperiodic Trigger States configured within *CSI-aperiodicTriggerStateList*, as specified in TS 38.331 [5]. T0 refers to the first trigger state within the list, T1 to the second one and so on. If the list does not contain entry with index i, MAC entity shall ignore the Ti field. The Ti field is set to 1 to indicate that the Aperiodic Trigger State i shall be mapped to the codepoint of the DCI *CSI request* field, as specified in TS 38.214 [7]. The codepoint to which the Aperiodic Trigger State is mapped is determined by its ordinal position among all the Aperiodic Trigger States with Ti field set to 1, i.e. the first Aperiodic Trigger State with Ti field set to 1 shall be mapped to the codepoint value 1, second Aperiodic Trigger State with Ti field set to 1 shall be mapped to the codepoint value 2 and so on. The maximum number of mapped Aperiodic Trigger States is 63;

- R: Reserved bit, set to 0.



Figure 6.1.3.13-1: Aperiodic CSI Trigger State Subselection MAC CE

#### 6.1.3.14 TCI States Activation/Deactivation for UE-specific PDSCH MAC CE

The TCI States Activation/Deactivation for UE-specific PDSCH MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a variable size consisting of following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a DL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- Ti: If there is a TCI state with *TCI-StateId* i as specified in TS 38.331 [5], this field indicates the activation/deactivation status of the TCI state with *TCI-StateId* i, otherwise MAC entity shall ignore the Ti field. The Ti field is set to 1 to indicate that the TCI state with *TCI-StateId* i shall be activated and mapped to the codepoint of the DCI *Transmission Configuration Indication* field, as specified in TS 38.214 [7]. The Ti field is set to 0 to indicate that the TCI state with *TCI-StateId* i shall be deactivated and is not mapped to the codepoint of the DCI *Transmission Configuration Indication* field. The codepoint to which the TCI State is mapped is determined by its ordinal position among all the TCI States with Ti field set to 1, i.e. the first TCI State with Ti field set to 1 shall be mapped to the codepoint value 0, second TCI State with Ti field set to 1 shall be mapped to the codepoint value 1 and so on. The maximum number of activated TCI states is 8;

- R: Reserved bit, set to 0.



Figure 6.1.3.14-1: TCI States Activation/Deactivation for UE-specific PDSCH MAC CE

#### 6.1.3.15 TCI State Indication for UE-specific PDCCH MAC CE

The TCI State Indication for UE-specific PDCCH MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size of 16 bits with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- CORESET ID: This field indicates a Control Resource Set identified with *ControlResourceSetId* as specified in TS 38.331 [5], for which the TCI State is being indicated. In case the value of the field is 0, the field refers to the Control Resource Set configured by *controlResourceSetZero* as specified in TS 38.331 [5]. The length of the field is 4 bits;

- TCI State ID: This field indicates the TCI state identified by *TCI-StateId* as specified in TS 38.331 [5] applicable to the Control Resource Set identified by CORESET ID field. If the field of CORESET ID is set to 0, this field indicates a *TCI-StateId* for a TCI state of the first 64 TCI-states configured by *tci-States-ToAddModList* and *tci-States-ToReleaseList* in the *PDSCH-Config* in the active BWP. If the field of CORESET ID is set to the other value than 0, this field indicates a *TCI-StateId* configured by *tci-StatesPDCCH-ToAddList* and *tci-StatesPDCCH-ToReleaseList* in the *controlResourceSet* identified by the indicated CORESET ID. The length of the field is 7 bits.



Figure 6.1.3.15-1: TCI State Indication for UE-specific PDCCH MAC CE

#### 6.1.3.16 SP CSI reporting on PUCCH Activation/Deactivation MAC CE

The SP CSI reporting on PUCCH Activation/Deactivation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size of 16 bits with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a UL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- Si: This field indicates the activation/deactivation status of the Semi-Persistent CSI report configuration within *csi-ReportConfigToAddModList*, as specified in TS 38.331 [5]. S0 refers to the report configuration which includes PUCCH resources for SP CSI reporting in the indicated BWP and has the lowest *CSI-ReportConfigId* within the list with type set to *semiPersistentOnPUCCH*, S1 to the report configuration which includes PUCCH resources for SP CSI reporting in the indicated BWP and has the second lowest *CSI-ReportConfigId* and so on. If the number of report configurations within the list with type set to *semiPersistentOnPUCCH* in the indicated BWP is less than i + 1, MAC entity shall ignore the Si field. The Si field is set to 1 to indicate that the corresponding Semi-Persistent CSI report configuration shall be activated. The Si field is set to 0 to indicate that the corresponding Semi-Persistent CSI report configuration i shall be deactivated;

- R: Reserved bit, set to 0.



Figure 6.1.3.16-1: SP CSI reporting on PUCCH Activation/Deactivation MAC CE

#### 6.1.3.17 SP SRS Activation/Deactivation MAC CE

The SP SRS Activation/Deactivation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a variable size with following fields:

- A/D: This field indicates whether to activate or deactivate indicated SP SRS resource set. The field is set to 1 to indicate activation, otherwise it indicates deactivation;

- SRS Resource Set's Cell ID: This field indicates the identity of the Serving Cell, which contains activated/deactivated SP SRS Resource Set. If the C field is set to 0, this field also indicates the identity of the Serving Cell which contains all resources indicated by the Resource IDi fields. The length of the field is 5 bits;

- SRS Resource Set's BWP ID: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], which contains activated/deactivated SP SRS Resource Set. If the C field is set to 0, this field also indicates the identity of the BWP which contains all resources indicated by the Resource IDi fields. The length of the field is 2 bits;

- C: This field indicates whether the octets containing Resource Serving Cell ID field(s) and Resource BWP ID field(s) are present. If this field is set to 1, the octets containing Resource Serving Cell ID field(s) and Resource BWP ID field(s) are present, otherwise they are not present;

- SUL: This field indicates whether the MAC CE applies to the NUL carrier or SUL carrier configuration. This field is set to 1 to indicate that it applies to the SUL carrier configuration, and it is set to 0 to indicate that it applies to the NUL carrier configuration;

- SP SRS Resource Set ID: This field indicates the SP SRS Resource Set ID identified by *SRS-ResourceSetId* as specified in TS 38.331 [5], which is to be activated or deactivated. The length of the field is 4 bits;

- Fi: This field indicates the type of a resource used as a spatial relationship for SRS resource within SP SRS Resource Set indicated with SP SRS Resource Set ID field. F0 refers to the first SRS resource within the resource set, F1 to the second one and so on. The field is set to 1 to indicate NZP CSI-RS resource index is used, and it is set to 0 to indicate either SSB index or SRS resource index is used. The length of the field is 1 bit. This field is only present if MAC CE is used for activation, i.e. the A/D field is set to 1;

- Resource IDi: This field contains an identifier of the resource used for spatial relationship derivation for SRS resource i. Resource ID0 refers to the first SRS resource within the resource set, Resource ID1 to the second one and so on. If Fi is set to 0, and the first bit of this field is set to 1, the remainder of this field contains *SSB-Index* as specified in TS 38.331 [5]. If Fi is set to 0, and the first bit of this field is set to 0, the remainder of this field contains *SRS-ResourceId* as specified in TS 38.331 [5]. The length of the field is 7 bits. This field is only present if MAC CE is used for activation, i.e. the A/D field is set to 1;

- Resource Serving Cell IDi: This field indicates the identity of the Serving Cell on which the resource used for spatial relationship derivation for SRS resource i is located. The length of the field is 5 bits;

- Resource BWP IDi: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], on which the resource used for spatial relationship derivation for SRS resource i is located. The length of the field is 2 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.17-1: SP SRS Activation/Deactivation MAC CE

#### 6.1.3.18 PUCCH spatial relation Activation/Deactivation MAC CE

The PUCCH spatial relation Activation/Deactivation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size of 24 bits with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a UL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- PUCCH Resource ID: This field contains an identifier of the PUCCH resource ID identified by *PUCCH-ResourceId* as specified in TS 38.331 [5]. The length of the field is 7 bits;

- Si: If there is a PUCCH Spatial Relation Info with *PUCCH-SpatialRelationInfoId* as specified in TS 38.331 [5], configured for the uplink bandwidth part indicated by BWP ID field, Si indicates the activation status of PUCCH Spatial Relation Info with *PUCCH-SpatialRelationInfoId* equal to i + 1, otherwise MAC entity shall ignore this field. The Si field is set to 1 to indicate PUCCH Spatial Relation Info with *PUCCH-SpatialRelationInfoId* equal to i + 1 shall be activated. The Si field is set to 0 to indicate PUCCH Spatial Relation Info with *PUCCH-SpatialRelationInfoId* equal to i + 1 shall be deactivated. Only a single PUCCH Spatial Relation Info can be active for a PUCCH Resource at a time;

- R: Reserved bit, set to 0.



Figure 6.1.3.18-1: PUCCH spatial relation Activation/Deactivation MAC CE

#### 6.1.3.19 SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE

The SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE is identified by a MAC subheader with LCID as specified in Table 6.2.1-1. It has a fixed size of 16 bits with following fields:

- A/D: This field indicates whether to activate or deactivate indicated SP ZP CSI-RS resource set. The field is set to 1 to indicate activation, otherwise it indicates deactivation;

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a DL BWP for which the MAC CE applies as the codepoint value of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- SP ZP CSI-RS resource set ID: This field contains an index of *sp-ZP-CSI-RS-ResourceSetsToAddModList*, as specified in TS 38.331 [5], indicating the Semi Persistent ZP CSI-RS resource set, which shall be activated or deactivated. The length of the field is 4 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.19-1: SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE

#### 6.1.3.20 Recommended bit rate MAC CE

The Recommended bit rate MAC CE is identified by a MAC subheader with LCID as specified in Tables 6.2.1-1 and 6.2.1-2 for bit rate recommendation message from the gNB to the UE and bit rate recommendation query message from the UE to the gNB, respectively. It has a fixed size and consists of two octets defined as follows (Figure 6.1.3.20-1):

- LCID: This field indicates the identity of the logical channel for which the recommended bit rate or the recommended bit rate query is applicable. The length of the field is 6 bits;

- Uplink/Downlink (UL/DL): This field indicates whether the recommended bit rate or the recommended bit rate query applies to uplink or downlink. The length of the field is 1 bit. The UL/DL field set to 0 indicates downlink. The UL/DL field set to 1 indicates uplink;

- Bit Rate: This field indicates an index to Table 6.1.3.20-1. The length of the field is 6 bits. For bit rate recommendation the value indicates the recommended bit rate. For bit rate recommendation query the value indicates the desired bit rate;

- R: reserved bit, set to 0.



Figure 6.1.3.20-1: Recommended bit rate MAC CE

Table 6.1.3.20-1: Values (kbit/s) for Bit Rate field

|  |  |  |  |
| --- | --- | --- | --- |
| Index | NR Recommended Bit Rate value [kbit/s] | Index | NR Recommended Bit Rate value [kbit/s] |
| 0 | Note 1 | 32 | 700 |
| 1 | 0 | 33 | 800 |
| 2 | 9 | 34 | 900 |
| 3 | 11 | 35 | 1000 |
| 4 | 13 | 36 | 1100 |
| 5 | 17 | 37 | 1200 |
| 6 | 21 | 38 | 1300 |
| 7 | 25 | 39 | 1400 |
| 8 | 29 | 40 | 1500 |
| 9 | 32 | 41 | 1750 |
| 10 | 36 | 42 | 2000 |
| 11 | 40 | 43 | 2250 |
| 12 | 48 | 44 | 2500 |
| 13 | 56 | 45 | 2750 |
| 14 | 72 | 46 | 3000 |
| 15 | 88 | 47 | 3500 |
| 16 | 104 | 48 | 4000 |
| 17 | 120 | 49 | 4500 |
| 18 | 140 | 50 | 5000 |
| 19 | 160 | 51 | 5500 |
| 20 | 180 | 52 | 6000 |
| 21 | 200 | 53 | 6500 |
| 22 | 220 | 54 | 7000 |
| 23 | 240 | 55 | 7500 |
| 24 | 260 | 56 | 8000 |
| 25 | 280 | 57 | Reserved |
| 26 | 300 | 58 | Reserved |
| 27 | 350 | 59 | Reserved |
| 28 | 400 | 60 | Reserved |
| 29 | 450 | 61 | Reserved |
| 30 | 500 | 62 | Reserved |
| 31 | 600 | 63 | Reserved |
| Note 1: For bit rate recommendation message this index is used for indicating that no new recommendation on bit rate is given. | | | |

#### 6.1.3.XX LBT failure MAC CE

The LBT failure MAC CE of one octet is identified by a MAC subheader with LCID as specified in Table 6.2.1-2. It has a fixed size and consists of a single octet containing 8 C-fields as follows (Figure 6.1.3.XX-1):

The LBT failure MAC CE of four octets is identified by a MAC subheader with LCID as specified in Table 6.2.1-2. It has a fixed size and consists of four octets containing 32 C-fields as follows (Figure 6.1.3.XX-2):

- Ci: If there is a Serving Cell configured for the MAC entity with *ServCellIndex* i as specified in TS 38.331 [5] and if consistent LBT failure have been triggered and not cancelled in this Serving Cell, the field is set to 1, otherwise the field is set to 0.



Figure 6.1.3.XX-1: LBT failure MAC CE of one octet



Figure 6.1.3.XX-2: LBT failure MAC CE of four octets

Editor’s Note: This is a baseline, changes are not precluded.   
This formulation cover the case of two MAC entities configured where there is no need to have communication between the two MAC entities. This implements the agreements   
“The MAC CE can report multiple failed Cells. The MAC CE format should support multiple entries to indicate all the Cells which have already declared consistent UL LBT failure. UL LBT MAC CE includes Cell index(s) where UL LBT failure occurs.” and   
“As a baseline, the format of the LBT failure MAC CE is a bitmap to indicate if corresponding serving cell has declared consistent LBT failure.”

### 6.1.4 MAC PDU (transparent MAC)

A MAC PDU consists solely of a MAC SDU whose size is aligned to a TB; as described in Figure 6.1.4-1. This MAC PDU is used for transmissions on PCH, BCH, and DL-SCH including BCCH.



Figure 6.1.4-1: Example of MAC PDU (transparent MAC)

### 6.1.5 MAC PDU (Random Access Response)

A MAC PDU consists of one or more MAC subPDUs and optionally padding. Each MAC subPDU consists one of the following:

- a MAC subheader with Backoff Indicator only;

- a MAC subheader with RAPID only (i.e. acknowledgment for SI request);

- a MAC subheader with RAPID and MAC RAR.

A MAC subheader with Backoff Indicator consists of five header fields E/T/R/R/BI as described in Figure 6.1.5-1. A MAC subPDU with Backoff Indicator only is placed at the beginning of the MAC PDU, if included. 'MAC subPDU(s) with RAPID only' and 'MAC subPDU(s) with RAPID and MAC RAR' can be placed anywhere between MAC subPDU with Backoff Indicator only (if any) and padding (if any).

A MAC subheader with RAPID consists of three header fields E/T/RAPID as described in Figure 6.1.5-2.

Padding is placed at the end of the MAC PDU if present. Presence and length of padding is implicit based on TB size, size of MAC subPDU(s).



Figure 6.1.5-1: E/T/R/R/BI MAC subheader



Figure 6.1.5-2: E/T/RAPID MAC subheader



Figure 6.1.5-3: Example of MAC PDU consisting of MAC RARs

## 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;

- 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

|  |  |
| --- | --- |
| Index | LCID values |
| 0 | CCCH |
| 1–32 | Identity of the logical channel |
| 33-46 | Reserved |
| 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 6.2.1-2 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 |
| 33–49 | Reserved |
| 50 | LBT failure (four octets) |
| 51 | LBT failure (one octet) |
| 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 |

### 6.2.2 MAC subheader for Random Access Response

The MAC subheader consists of the following fields:

- E: The Extension field is a flag indicating if the MAC subPDU including this MAC subheader is the last MAC subPDU or not in the MAC PDU. The E field is set to "1" to indicate at least another MAC subPDU follows. The E field is set to "0" to indicate that the MAC subPDU including this MAC subheader is the last MAC subPDU in the MAC PDU;

- T: The Type field is a flag indicating whether the MAC subheader contains a Random Access Preamble ID or a Backoff Indicator. The T field is set to "0" to indicate the presence of a Backoff Indicator field in the subheader (BI). The T field is set to "1" to indicate the presence of a Random Access Preamble ID field in the subheader (RAPID);

- R: Reserved bit, set to "0";

- BI: The Backoff Indicator field identifies the overload condition in the cell. The size of the BI field is 4 bits;

- RAPID: The Random Access Preamble IDentifier field identifies the transmitted Random Access Preamble (see clause 5.1.3). The size of the RAPID field is 6 bits. If the RAPID in the MAC subheader of a MAC subPDU corresponds to one of the Random Access Preambles configured for SI request, MAC RAR is not included in the MAC subPDU.

The MAC subheader is octet aligned.

### 6.2.3 MAC payload for Random Access Response

The MAC RAR is of fixed size as depicted in Figure 6.2.3-1, and consists of the following fields:

- R: Reserved bit, set to "0";

- Timing Advance Command: The Timing Advance Command field indicates the index value *TA* used to control the amount of timing adjustment that the MAC entity has to apply in TS 38.213 [6]. The size of the Timing Advance Command field is 12 bits;

- UL Grant: The Uplink Grant field indicates the resources to be used on the uplink in TS 38.213 [6]. The size of the UL Grant field is 27 bits;

- Temporary C-RNTI: The Temporary C-RNTI field indicates the temporary identity that is used by the MAC entity during Random Access. The size of the Temporary C-RNTI field is 16 bits.

The MAC RAR is octet aligned.



Figure 6.2.3-1: MAC RAR

# 7 Variables and constants

## 7.1 RNTI values

RNTI values are presented in Table 7.1-1.

Table 7.1-1: RNTI values.

|  |  |
| --- | --- |
| Value (hexa-decimal) | RNTI |
| 0000 | N/A |
| 0001–FFEF | RA-RNTI, Temporary C-RNTI, C-RNTI, MCS-C-RNTI, CS-RNTI, TPC-PUCCH-RNTI, TPC-PUSCH-RNTI, TPC-SRS-RNTI, INT-RNTI, SFI-RNTI, and SP-CSI-RNTI |
| FFF0–FFFD | Reserved |
| FFFE | P-RNTI |
| FFFF | SI-RNTI |

Table 7.1-2: RNTI usage.

|  |  |  |  |
| --- | --- | --- | --- |
| RNTI | Usage | Transport Channel | Logical Channel |
| P-RNTI | Paging and System Information change notification | PCH | PCCH |
| SI-RNTI | Broadcast of System Information | DL-SCH | BCCH |
| RA-RNTI | Random Access Response | DL-SCH | N/A |
| Temporary C-RNTI | Contention Resolution (when no valid C-RNTI is available) | DL-SCH | CCCH, DCCH |
| Temporary C-RNTI | Msg3 transmission | UL-SCH | CCCH, DCCH, DTCH |
| C-RNTI, MCS-C-RNTI | Dynamically scheduled unicast transmission | UL-SCH | DCCH, DTCH |
| C-RNTI | Dynamically scheduled unicast transmission | DL-SCH | CCCH, DCCH, DTCH |
| MCS-C-RNTI | Dynamically scheduled unicast transmission | DL-SCH | DCCH, DTCH |
| C-RNTI | Triggering of PDCCH ordered random access | N/A | N/A |
| CS-RNTI | Configured scheduled unicast transmission (activation, reactivation and retransmission) | DL-SCH, UL-SCH | DCCH, DTCH |
| CS-RNTI | Configured scheduled unicast transmission (deactivation) | N/A | N/A |
| TPC-PUCCH-RNTI | PUCCH power control | N/A | N/A |
| TPC-PUSCH-RNTI | PUSCH power control | N/A | N/A |
| TPC-SRS-RNTI | SRS trigger and power control | N/A | N/A |
| INT-RNTI | Indication pre-emption in DL | N/A | N/A |
| SFI-RNTI | Slot Format Indication on the given cell | N/A | N/A |
| SP-CSI-RNTI | Activation of Semi-persistent CSI reporting on PUSCH | N/A | N/A |
| NOTE: The usage of MCS-C-RNTI is equivalent to that of C-RNTI in MAC procedures (except for the C-RNTI MAC CE). | | | |

## 7.2 Backoff Parameter values

Backoff Parameter values are presented in Table 7.2-1.

Table 7.2-1: Backoff Parameter values.

|  |  |
| --- | --- |
| Index | Backoff Parameter value (ms) |
| 0 | 5 |
| 1 | 10 |
| 2 | 20 |
| 3 | 30 |
| 4 | 40 |
| 5 | 60 |
| 6 | 80 |
| 7 | 120 |
| 8 | 160 |
| 9 | 240 |
| 10 | 320 |
| 11 | 480 |
| 12 | 960 |
| 13 | 1920 |
| 14 | Reserved |
| 15 | Reserved |

## 7.3 DELTA\_PREAMBLE values

The DELTA\_PREAMBLE preamble format based power offset values are presented in Tables 7.3-1 and 7.3-2.

Table 7.3-1: DELTA\_PREAMBLE values for long preamble formats.

|  |  |
| --- | --- |
| Preamble  Format | DELTA\_PREAMBLE values |
| 0 | 0 dB |
| 1 | -3 dB |
| 2 | -6 dB |
| 3 | 0 dB |

Table 7.3-2: DELTA\_PREAMBLE values for short preamble formats.

|  |  |
| --- | --- |
| Preamble  Format | DELTA\_PREAMBLE values (dB) |
| A1 | 8 + 3 × *μ* |
| A2 | 5 + 3 × *μ* |
| A3 | 3 + 3 × *μ* |
| B1 | 8 + 3 × *μ* |
| B2 | 5 + 3 × *μ* |
| B3 | 3 + 3 × *μ* |
| B4 | 3 × *μ* |
| C0 | 11 + 3 × *μ* |
| C2 | 5 + 3 × *μ* |

where *μ* is the sub-carrier spacing configuration determined by *msg1-SubcarrierSpacing* and Table 4.2-1 in TS 38.211 [8], and the preamble formats are given by *prach-ConfigurationIndex* and Tables 6.3.3.2-2 and 6.3.3.2-3 in TS 38.211 [8].

## 7.4 PRACH Mask Index values

Table 7.4-1: PRACH Mask Index values

|  |  |
| --- | --- |
| PRACH Mask Index | Allowed PRACH occasion(s) of SSB |
| 0 | All |
| 1 | PRACH occasion index 1 |
| 2 | PRACH occasion index 2 |
| 3 | PRACH occasion index 3 |
| 4 | PRACH occasion index 4 |
| 5 | PRACH occasion index 5 |
| 6 | PRACH occasion index 6 |
| 7 | PRACH occasion index 7 |
| 8 | PRACH occasion index 8 |
| 9 | Every even PRACH occasion |
| 10 | Every odd PRACH occasion |
| 11 | Reserved |
| 12 | Reserved |
| 13 | Reserved |
| 14 | Reserved |
| 15 | Reserved |

Annex A (informative):  
Change history

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Change history** | | | | | | | |
| **Date** | **Meeting** | **TDoc** | **CR** | **Rev** | **Cat** | **Subject/Comment** | **New version** |
| 2017-04 | RAN2#97bis | R2-1703006 | - | - | - | Skeleton of NR MAC specification | 0.0.1 |
| 2017-04 | RAN2#97bis | R2-1703915 | - | - | - | Editorial updates | 0.0.2 |
| 2017-05 | RAN2#98 | R2-1704475 | - | - | - | To capture agreements from RAN2#97bis | 0.0.3 |
| 2017-06 | RAN2 NR AH#2 | R2-1706608 | - | - | - | To capture agreements from RAN2#98 | 0.0.4 |
| 2017-06 | RAN2 NR AH#2 | R2-1707471 | - | - | - | Endorsement of v0.0.4 (including minor updates) | 0.1.0 |
| 2017-08 | RAN2#99 | R2-1707510 | - | - | - | To capture agreements from RAN2 NR AH#2 | 0.2.0 |
| 2017-08 | RAN2#99 | R2-1709946 | - | - | - | To capture agreements from RAN2#99 | 0.3.0 |
| 2017-09 | RAN#77 | RP-171733 | - | - | - | To be presented to RAN for information | 1.0.0 |
| 2017-11 | RAN2#100 | R2-1712698 | - | - | - | To capture agreements from RAN2#99bis | 1.1.0 |
| 2017-12 | RAN2#100 | R2-1714253 | - | - | - | To capture agreements from RAN2#100 | 1.2.0 |
| 2017-12 | RP-78 | RP-172419 | - | - | - | To be presented to RAN for approval | 2.0.0 |
| 2017-12 | RP-78 |  |  |  |  | Upgraded to Rel-15 | 15.0.0 |
| 2018-03 | RP-79 | RP-180440 | 0039 | 1 | F | General corrections on TS 38.321 | 15.1.0 |
| 2018-03 | RP-79 | RP-180440 | 0041 | - | B | Introduction of MAC CEs for NR MIMO | 15.1.0 |
| 2018-06 | RP-80 | RP-181216 | 0057 | 5 | F | Miscellaneous corrections | 15.2.0 |
|  | RP-80 | RP-181216 | 0103 | 2 | F | Addition of the beamFailureRecoveryTimer | 15.2.0 |
|  | RP-80 | RP-181214 | 0115 | - | F | Correction to SR triggering to accommodate the configured grant | 15.2.0 |
|  | RP-80 | RP-181215 | 0145 | 1 | F | Corrections on the timers in MAC | 15.2.0 |
|  | RP-80 | RP-181215 | 0148 | 1 | F | Alternative 1 for Cross Carrier Indication for Semi-Persistent SRS MAC CE | 15.2.0 |
|  | RP-80 | RP-181215 | 0153 | 2 | F | Flush HARQ buffer upon skipping a UL transmission | 15.2.0 |
|  | RP-80 | RP-181215 | 0166 | 1 | F | Addition of Prioritized Random Access | 15.2.0 |
|  | RP-80 | RP-181216 | 0185 | - | F | Introduction of PDCP duplication | 15.2.0 |
|  | RP-80 | RP-181216 | 0186 | - | B | MAC CE adaptation for NR for TS 38.321 | 15.2.0 |
| 2018-09 | RP-81 | RP-181941 | 0058 | 5 | F | Clarification on starting of drx-HARQ-RTT-TimerDL | 15.3.0 |
|  | RP-81 | RP-181939 | 0094 | 3 | F | Correction of Configured Grant formula | 15.3.0 |
|  | RP-81 | RP-181940 | 0100 | 4 | F | Introduction of DRX ambiguous period | 15.3.0 |
|  | RP-81 | RP-181938 | 0139 | 2 | F | Clarification on timing requirement of SCell deactivation timer | 15.3.0 |
|  | RP-81 | RP-181938 | 0141 | 2 | F | Correction on PUSCH resource handling for Semi-Persistent CSI reporting | 15.3.0 |
|  | RP-81 | RP-181940 | 0184 | 3 | F | CR to 38.321 on the allocation of preambles for group B | 15.3.0 |
|  | RP-81 | RP-181940 | 0189 | 3 | F | PRACH Preamble Selection for Msg1 based SI Request | 15.3.0 |
|  | RP-81 | RP-181938 | 0190 | 1 | F | PRACH Resource Selection for RA Initiated by PDCCH Order | 15.3.0 |
|  | RP-81 | RP-181942 | 0193 | 4 | F | Miscellaneous corrections | 15.3.0 |
|  | RP-81 | RP-181938 | 0200 | 1 | F | Correction on BWP inactivity timer configuration | 15.3.0 |
|  | RP-81 | RP-181938 | 0203 | 2 | F | Correction on Ci bitmap length determination in the Activation/Deactivation MAC CE | 15.3.0 |
|  | RP-81 | RP-181938 | 0206 | 2 | F | Addition of NOTE to clarify meaning of available UL-SCH resource | 15.3.0 |
|  | RP-81 | RP-181939 | 0214 | 2 | F | Correction to RO selection procedure | 15.3.0 |
|  | RP-81 | RP-181938 | 0215 | 2 | F | CR on Semi-Persistent CSI Reporting and SRS for DRX | 15.3.0 |
|  | RP-81 | RP-181940 | 0234 | 2 | F | Correction to CCCH LCID | 15.3.0 |
|  | RP-81 | RP-181938 | 0242 | " | F | Correction to SP CSI reporting on PUCCH Activation and Deactivation MAC CE | 15.3.0 |
|  | RP-81 | RP-181938 | 0243 | 1 | F | Correction to TCI State Indication for UE-specific PDCCH MAC CE | 15.3.0 |
|  | RP-81 | RP-181938 | 0245 | 1 | F | CR on MAC RAR | 15.3.0 |
|  | RP-81 | RP-181939 | 0252 | 1 | F | Correction for LCP restriction for duplication and non-duplication | 15.3.0 |
|  | RP-81 | RP-181939 | 0254 | 2 | F | CR on BWP Inactivity timer | 15.3.0 |
|  | RP-81 | RP-181939 | 0255 | 2 | F | Correction to BWP operations | 15.3.0 |
|  | RP-81 | RP-181938 | 0259 | 2 | F | CR on BSR transmisison with insufficient grant | 15.3.0 |
|  | RP-81 | RP-181940 | 0262 | 2 | F | Corrections on Configured Grants and SPS | 15.3.0 |
|  | RP-81 | RP-181938 | 0272 | 2 | F | CR on RA parameter description in TS 38.321 | 15.3.0 |
|  | RP-81 | RP-181940 | 0275 | 1 | F | Correction to acknowledgement for SPS deactivation | 15.3.0 |
|  | RP-81 | RP-181940 | 0276 | 1 | F | Correction to handling of retransmission with a different TBS in DL HARQ | 15.3.0 |
|  | RP-81 | RP-181980 | 0279 | 2 | F | Correction to BWP handling upon SCell deactivation | 15.3.0 |
|  | RP-81 | RP-181940 | 0280 | 2 | F | Correction to MAC handling during different measurement gaps | 15.3.0 |
|  | RP-81 | RP-181939 | 0283 | 1 | F | PDCCH for BFR termination | 15.3.0 |
|  | RP-81 | RP-181939 | 0285 | ! | F | CSI reporting in DRX | 15.3.0 |
|  | RP-81 | RP-181940 | 0290 | 1 | F | Introduction of MCS-C-RNTI | 15.3.0 |
|  | RP-81 | RP-181941 | 0297 | 1 | F | Clarification on the duration of timers in MAC | 15.3.0 |
|  | RP-81 | RP-181941 | 0300 | 1 | F | Clarification on support of Type 2 PH | 15.3.0 |
|  | RP-81 | RP-181938 | 0302 | - | F | PRACH Occasion Selection for Msg1 based SI Request | 15.3.0 |
|  | RP-81 | RP-181938 | 0304 | - | F | Correction to RA Resource Selection Procedure | 15.3.0 |
|  | RP-81 | RP-181941 | 0306 | 2 | F | Correction on BWP operation procedure | 15.3.0 |
|  | RP-81 | RP-181941 | 0326 | 2 | F | CR on padding BSR | 15.3.0 |
|  | RP-81 | RP-181941 | 0328 | 1 | F | CR on SR cancellation | 15.3.0 |
|  | RP-81 | RP-181941 | 0329 | 2 | F | CR on BWP with ongoing RA procedure - Option 1 | 15.3.0 |
|  | RP-81 | RP-181940 | 0331 | 1 | F | CR on BWP inactivity timer stopping due to RA | 15.3.0 |
|  | RP-81 | RP-181941 | 0342 | 1 | F | Correction for Random Access Back off | 15.3.0 |
|  | RP-81 | RP-181941 | 0356 | 1 | F | RSRP measurements for Random Access | 15.3.0 |
|  | RP-81 | RP-181938 | 0357 | 1 | F | Reset of BFD | 15.3.0 |
|  | RP-81 | RP-181942 | 0368 | 2 | F | CR on first active BWP switching upon RRC (re)configuration | 15.3.0 |
|  | RP-81 | RP-181941 | 0371 | 1 | F | Clarification on Long Truncated BSR | 15.3.0 |
|  | RP-81 | RP-181940 | 0376 | - | F | Correction on SR with PUSCH resource handling of Semi-Persistent CSI reporting | 15.3.0 |
|  | RP-81 | RP-181940 | 0378 | 1 | F | BWP operation for BFR RA | 15.3.0 |
|  | RP-81 | RP-181942 | 0402 | 2 | F | Changes for MAC CEs to Support the Extended Maximum Number of TCI States | 15.3.0 |
| 2018-12 | RP-82 | RP-182658 | 0303 | 6 | F | Msg3 handling for switching from CBRA to CFRA | 15.4.0 |
|  | RP-82 | RP-182658 | 0354 | 6 | F | Clarification on PHR timing for configured grant | 15.4.0 |
|  | RP-82 | RP-182652 | 0399 | 5 | F | Preamble power ramping | 15.4.0 |
|  | RP-82 | RP-182651 | 0406 | 2 | F | bwp-InactivityTimer when PDCCH indicating BWP switching is received | 15.4.0 |
|  | RP-82 | RP-182666 | 0409 | 3 | F | RRC triggered BWP switching while RACH is ongoing | 15.4.0 |
|  | RP-82 | RP-182658 | 0411 | 3 | F | Miscellaneous corrections | 15.4.0 |
|  | RP-82 | RP-182658 | 0413 | 2 | F | RA Preamble Selection Procedure | 15.4.0 |
|  | RP-82 | RP-182658 | 0421 | 3 | F | Correction for Msg3 grant overlapping with another UL grant | 15.4.0 |
|  | RP-82 | RP-182649 | 0423 | 1 | F | Correction on the scaling between CSI-RS and SSB for BFR | 15.4.0 |
|  | RP-82 | RP-182654 | 0432 | 2 | F | Corrections on CFRA BFR termination | 15.4.0 |
|  | RP-82 | RP-182658 | 0445 | 2 | F | Correction on PHR references | 15.4.0 |
|  | RP-82 | RP-182653 | 0452 | 3 | F | Correction of BWP switching when SUL is configured | 15.4.0 |
|  | RP-82 | RP-182658 | 0459 | 2 | F | Correction on BSR triggered SR | 15.4.0 |
|  | RP-82 | RP-182656 | 0471 | 2 | F | Correction for Reconfiguration of CFRA during ongoing RA | 15.4.0 |
|  | RP-82 | RP-182656 | 0475 | 2 | F | Introduction of Data Inactivity timer in MAC | 15.4.0 |
|  | RP-82 | RP-182658 | 0486 | 3 | F | Correction to RA prioritization | 15.4.0 |
|  | RP-82 | RP-182653 | 0488 | 2 | F | Correction to BFR procedure | 15.4.0 |
|  | RP-82 | RP-182658 | 0505 | 2 | F | Handling of overlapped configured grant and UL grant received in RAR | 15.4.0 |
|  | RP-82 | RP-182658 | 0523 | 1 | F | Allow padding when UL grant size is larger than 8 bytes | 15.4.0 |
|  | RP-82 | RP-182658 | 0535 | 1 | F | Clarification on LCH-to-cell restriction | 15.4.0 |
|  | RP-82 | RP-182658 | 0547 | 4 | F | Clarification on BWP ID in MAC CE | 15.4.0 |
|  | RP-82 | RP-182658 | 0551 | 1 | F | Corrections for alignments in RACH resource selection | 15.4.0 |
|  | RP-82 | RP-182658 | 0553 | 1 | F | Correction on the RO selection for PDCCH order triggered RA | 15.4.0 |
|  | RP-82 | RP-182665 | 0564 | 2 | F | Correction to SR triggering | 15.4.0 |
|  | RP-82 | RP-182655 | 0575 | - | F | Handling of Msg3 size allocated by RAR mismatch during CBRA procedure | 15.4.0 |
|  | RP-82 | RP-182658 | 0582 | 1 | F | Clarification to value table for recommended bit rate MAC CE | 15.4.0 |
|  | RP-82 | RP-182656 | 0587 | - | F | Clarification for CCCH1 | 15.4.0 |
|  | RP-82 | RP-182666 | 0593 | 5 | F | Correction to PHR procedures in dual-connectivity | 15.4.0 |
|  | RP-82 | RP-182664 | 0594 | 1 | F | Correction on DL SPS configuration | 15.4.0 |
|  | RP-82 | RP-182664 | 0595 | - | F | Enabling to configure TCI-state for CORESET#0 by MAC CE | 15.4.0 |
| 2019-03 | RP-83 | RP-190540 | 0603 | 1 | F | Miscellaneous corrections | 15.5.0 |
|  | RP-83 | RP-190540 | 0630 | 1 | F | Correction on PH omitting of dynamic power sharing incapable UE | 15.5.0 |
|  | RP-83 | RP-190540 | 0634 | 1 | F | CR on RA-RNTI calculation | 15.5.0 |
|  | RP-83 | RP-190545 | 0638 | 1 | F | Clarification for random access on SUL | 15.5.0 |
| 2019-06 | RP-84 | RP-191379 | 0639 | 1 | F | Correction to PUCCH spatial relation Activation/Deactivation MAC CE | 15.6.0 |
|  | RP-84 | RP-191375 | 0642 | 1 | F | Correction on NR PHR for late drop | 15.6.0 |
|  | RP-84 | RP-191376 | 0646 | 1 | F | Miscellaneous corrections | 15.6.0 |
|  | RP-84 | RP-191375 | 0648 | - | F | Clarification on PH value type determination | 15.6.0 |
| 2019-09 | RP-85 | RP-192190 | 0650 | 1 | F | Miscellaneous corrections | 15.7.0 |
|  | RP-85 | RP-192192 | 0661 | 1 | F | Correction to semi-persistant CSI report in DRX | 15.7.0 |
| 2019-12 | RP-86 | RP-192935 | 0672 | 3 | F | Clarification on CSI reporting in C-DRX | 15.8.0 |
|  | RP-86 | RP-192937 | 0680 | 1 | F | Correction on PRACH procedure with SRS switching | 15.8.0 |

End of changes

Annex (not part of the specification): RAN2 Agreements

This Annex contains the RAN2 agreements on Rel-16 WI for “NR-based Access to Unlicensed Spectrum”. The agreements are provided verbatim for reference.This annex shall be removed once the WI is completed.

The agreements that have been implemented in this running CR are marked with a word comment stating in which section they have impact. For the others, either no MAC impact has been identified or more detailed agreements are needed to be able to implement them or there are more detailed agreements on this from later meetings.

## RAN2#105 Athen

|  |
| --- |
| 1. Consistent LBT failures can lead to RLF, at least for UL transmissions, for which consistent failures can currently eventually lead to RLF 2. In NR-U, DRX On-duration starts as in Rel-15 NR (except for potentially have a new switch trigger to go to short DRX 3. One DRX configuration for one MAC entity (no change) 4. FFS if DRX active time somehow be extended, or go to short DRX, by a non-data DL transmission (not WUS) 5. A UE can be configured for an additional number of monitoring occasions at or after or before (FFS) its calculated PO (when the paging message can be transmitted    1. FFS dynamic extension    2. FFS dynamic termination |

## RAN2#105bis Xian

|  |
| --- |
| * Adopt a mechanism in MAC spec to handle the UL LBT failure, where “consistent” UL LBT failures (at least for UL transmissions of SR, RACH, PUSCH) are used for problem detection * R2 assumes that the configured grant timer is not started/restarted when configured grant is not transmitted due to LBT failure. PDU overwrite need to be avoided somehow. * The configured grant timer is not started/restarted when UL LBT fails on PUSCH transmission for grant received by PDCCH addressed to CS-RNTI scheduling retransmission for configured grant * The configured grant timer is not started/restarted when the UL LBT fails on PUSCH transmission for UL grant received by PDCCH addressed to C-RNTI, which indicates the same HARQ process configured for configured uplink grant * Upon UL transmission on configured grant, *bwp-InactivityTimer* is restarted as today (i.e. at LBT success) * Upon UL transmission on configured grant, *sCellDeactivationTimer* is restarted as today (i.e. at LBT success) * Content of a MAC PDU (including any PHR value) will not change after it has been built for transmission on dynamic grant even if the LBT fails. * For BSR/PHR transmitted on configured grant, it is up to the implementation of the UE to handle the content of BSR/PHR. * All BSRs triggered prior to MAC PDU assembly shall be cancelled when a MAC PDU is attempted transmission on PUSCH while UL LBT fails 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, i.e. no TS change for this case. * *dataInactivityTimer* should be restarted when any MAC entity attempts transmission of a MAC SDU for DTCH logical channel, or DCCH logical channel regardless UL LBT outcome. * *drx-HARQ-RTT-TimerUL* should be started/restarted regardless of the LBT outcome for PUSCH transmission with dynamic grant * *drx-HARQ-RTT-TimerUL* should not be started/restarted when LBT fails for PUSCH transmission with configured grant |

* Retransmissions of a TB using configured grant resources, when initial transmission or a retransmission of the TB was previously done using dynamically scheduled resources, is not allowed
* A table for mapping between 5QI and CAPC, similar to Table 5.7.1-1 in 3GPP TS 36.300, shall be specified
* All MAC CEs, except padding BSR MAC CE, uses the highest priority CAPC, that is the lowest number CAPC, FFS for recommended rate for Voice MAC CE
* It is FFS if for CG, when several MAC SDUs are multiplexed, CAPC is selected according to the configuration for the LCH with lowest priority CAPC (for DRB).
* A new timer is introduced for auto retransmission (i.e. timer expiry = HARQ NACK) on configured grant for the case of the TB previous being transmitted on a configured grant “CG retransmission timer”.
* the new timer is started when the TB is actually transmitted on the configured grant and stopped upon reception of HARQ feedback (DFI) or dynamic grant for the HARQ process.
* the legacy configured grant timer and behaviour is kept for preventing the configured grant overriding the TB scheduled by dynamic grant, i.e. it is (re)started upon reception of the PDCCH as well as transmission on the PUSCH of dynamic grant.
* The PREAMBLE\_TRANSMISSION\_COUNTER is not increased if the preamble is not transmitted due to LBT failure
* SR\_COUNTER is increase only when SR is successfully transmitted
* As earlier agreed, The POWER\_RAMPING\_COUNTER is not increased if the preamble is not transmitted due to LBT failure. For this purpose LBT failure indication or equiv. (used for other LBT outcome dependencies) from PHY is used.
* MAC returns to the resource selection step if LBT fails for Msg1 transmission opportunity(ies)
* From MAC perspective, multiple msg1 transmissions are not supported (does not preclude beam sweeping enhancement if decided for NR)
* Actual transmission for MSG1 (LBT success) is used for starting RAR window
* R2 assumes the maximum RAR window size is extended to [20] ms
* We ask R1 regarding the support of multiple MSG3 transmission opportunities
* R2 assumes the range of ra-ContentionResolutionTimer is not extended for NR-U (note this contradicts earlier assumption)
* Either a) the ra-ContentionResolutionTimer is started regardless of the LBT outcome of msg3 transmission or b) ra-ContentionResolutionTimer is started only at successful LBT outcome of msg3 transmission + immediately the UE to restart from RACH resource selection if all MSG3 transmissions fail. FFS
* As agreed in the SI phase, the sr-ProhibitTimer shall not prohibit SR transmissions due to SR that was not transmitted due to LBT failure.
* As a starting point: If UE receives on PDCCH addressed to P-RNTI in a PDCCH monitoring occasion for paging corresponding to an SSB in a PO, UE is not required to monitor subsequent PDCCH monitoring occasions corresponding to that SSB in that PO
* R2 assumes that missing measurements due to LBT failures do not impact the R2 specification of L3 filtering and the subsequent steps.
* Handling of delayed SSB transmissions due to LBT does not impact L3
* FFS: A new RLF trigger mechanism for missing RLM-RS may be defined at upper layers but RAN2 should wait for RAN1 conclusion on this issue
* RSSI and Channel Occupancy configuration and reporting, in particular measurements over an interval (at least for CO) and periodical reporting, are used as a baseline for NR-U
* Measurement and reporting of WLAN nodes are not supported in NR-U

## RAN2#106 Reno

* The UE should also stop monitoring paging for the PO even if it does not decode a P-RNTI if it can detect that the gNB had access to the channel at the pdcch monitoring occasion. FFS if there are additional detection methods to detection of PRNTI and what those are.
* We extend paging monitoring by extending PDCCH occasions for a PO
* For the case when all broadcast SI can be put in one SI message, no optimization is needed.
* RSSI CO measurements are not used in Idle or Inactive in this release.
* If highest ranked or best cell is not suitable in an unlicensed frequency due to the fact that PLMN IDs is not the RPLMN (or EPLMN), only the highest ranked or best cell is considered not candidate for cell reselection for 300s or longer. Other cells in the frequency of the highest ranked or best cell should still be considered for cell reselection. FFS whether we have another limit in addition to Suitability criterion.
* To apply the cell barring and IntraFreqReselection in the MIB, the UE also has to acquire the SIB1 to check the PLMN IDs.
* FFS if the UE should only act on the cell barring and intraFreqReselection in the MIB only if the registered PLMN or selected PLMN matches one of the PLMN IDs in SIB1. Otherwise, the UE should follow Proposal#1 Approach#2
* RSSI and CO measurement quantities can be reported with existing triggers as in LAA
* The reporting for RSSI and Channel Occupancy (CO) for NR-U is an optional UE capability as in LTE LAA.
* For UL CG, select the highest CAPC index (lowest priority) of LCHs multiplexed in a TB, as in LTE LAA (for WiFi coexist)
* For UL CG, FFS if it shall be possible to restrict data of which CAPC can be multiplexed into a TB with high priority data
* SRB0, 1, 3 have highest priority (lowest CAPC index), SRB2 configurable

## RAN2#107 Prague

|  |
| --- |
| * L2 LBT failure mechanism take into account any LBT failure regardless UL transmission type. * The UL LBT failure mechanism will have the same recovery mechanism for all failures regardless UL transmission type * UL LBT failures are detected per BWP * The UE will report the occurrence of consistent UL LBT failures on PSCell and SCells. The assumption is to reuse SCell failure reporting for BF   **Baseline Mechanism, further enhancements not precluded:**   * A “threshold” for the maximum number of LBT failures which triggers the “consistent” LBT failure event will be used. * Both a timer and a counter are introduced, the counter is reset when timer expires and incremented when UL LBT failure happens * The timer is started/restarted when UL LBT failure occur. |

|  |
| --- |
| * The CG retransmission timer value is configured per configured grant configuration (i.e., *ConfiguredGrantConfig*) and the CG retransmission timer is maintained per HARQ process. * Autonomous retransmission on CG resource is prohibited for a HARQ process while the CG retransmission timer for the HARQ process is running. * Both CG timer and CG retransmission timer are used at the same time for a HARQ process. * The value of the CG retransmission timer is shorter than the value of the CG timer. * The CG timer is not restarted at autonomous retransmission on CG resource after the CG retransmission timer expiry. * The UE does not stop the CG timer upon NACK feedback reception, and stops the CG timer upon ACK feedback reception. * On LBT failure at TX on CG, the UE transmits the pending TB using same HARQ process, in a CG resource. * CS-RNTI is used for scheduled retransmission, and C-RNTI is used for new transmission, similar to NR CG. To be confirmed by RAN1. * Collisions DG CG is FFS |

|  |
| --- |
| * Will support extension of RAR window without modifying RA-RNTI. * Include LSBs of SFN in MSG2 |

|  |
| --- |
| * PO consists of ‘S × X’ PDCCH monitoring occasions for paging, where 'S' is the number of actual transmitted SSBs and X is the number of PDCCH monitoring occasions per SSB. * Parameter 'X' is signaled in paging configuration (i.e. *pcch-Config)*. Parameter Name FFS * TP is endorsed as baseline * Text for LS to R1: RAN2 has agree to extend PDCCH monitoring at paging. <ref agreement text> RAN2 think that UE may stop monitoring the additional PDCCH monitoring occasions at paging occasions (PO) if it detects that gNB had access to the channel at the PO and the detection is reliable. RAN2 has agreed to use transmission addressed to P-RNTI for this purpose. RAN2 wonders whether there are other DL signals that can be reliably detected for this purpose. |

|  |
| --- |
| * We will support whitelist * On NR-U frequencies if the highest ranked cell or best cell is not suitable due to belonging to a PLMN which is not indicated as being equivalent to the registered PLMN, the UE shall not consider this cell for a maximum of 300 seconds for reselection, but shall consider the other cells as candidates for reselection on the same frequency. The UE may consider the current NR-U frequency to be the lowest priority frequency for reselection for 300 seconds after at least <FFS criterion> on that frequency were found not suitable due to belonging to a PLMN which is not indicated as being equivalent to the registered PLMN. |

## RAN2#107bis Chongqing

**Agreements:**

- From RAN2 point of view it is beneficial to include LSB of SFN in the DCI. The same design is desirable to be used for 2-step RACH. Write LS to RAN1 to ask if there is any feasibility issues.

- For NR-U, 2 bits are enough for a maximum of 40ms response windows.

- Multiplexing of responses for more than one SFN is not allowed.

- ra-ContentionResolutionTimer is started regardless of the LBT outcome of msg3 transmission

**Agreements:**

1. MAC relies on reception of a notification of UL LBT failure from the physical layer to detect a consistent UL LBT failure.
2. The UE switches to another BWP and initiates RACH upon declaration of consistent LBT failure on PCell *or PSCell* if there is another BWP with configured RACH resources.
3. The UE shall perform RLF recovery if the consistent UL LBT failure was detected on the PCell and UL LBT failure was detected on “N” possible BWP. “
4. When consistent uplink LBT failures are detected on the PSCell, the UE informs MN via the SCG failure information procedure after detecting a consistent UL LBT failure on “N” BWPs.
5. “N” is the number of configured BWPs with configured PRACH resources. If N is larger than one it is up to the UE implementation which BWP the UE selects.
6. When consistent uplink LBT failures are detected on an SCell, a new MAC CE to report this to the node where SCell belongs to is used. FFS whether the MAC CE can be used to report failure on PCell

**Agreements**

1. The drx-RetransmissionTimerDL is started after the PDSCH scheduled by non-numerical K1
2. UE starts the drx-HARQ-RTT-TimerDL after the HARQ A/N transmission opportunity irrespective of the LBT outcome

**Agreements**

1. When configuredGrantTimer expires, the UE should stop the CGretransmission timer (CGRT) if it is still running.
2. Upon receiving CG activation command, stop the CG retransmission timer for HARQ processes configured for the CG
3. No special handling for HARQ process sharing between configured grant and dynamic grants (i.e. follow licensed specifications)
4. HARQ process id selection is based on UE implementation. Ongoing retransmissions on HARQ processes should be prioritized.

**Agreements**

1. Multiple active CG configurations should be allowed for NR-U. Details are FFS

=> Aim to introduce a mechanism for SRBs for CG. Try to find an easy way to capture this in the specs if possible.

=> For the determination of CAPC for a DRB, selection of the CAPC should be determined by gNB. Write in the spec that gNB should try to guarantee fairness in stage 2.

=> RAN2 acknowledges that with current framework the gNB will not be aware whether the UE transmitted type 1 or type 3. FFS if and how we address it

**Agreements**

=> Wait for RAN1 to understand whether we can use existing channels to determine when the UE should stop monitoring.

=> A UE receives paging messages only in initial BWP or in its active BWP as in NR.

**Agreements on cell reselection**

1. The UE may consider the current NR-U frequency to be the lowest priority frequency for reselection for 300 seconds after at least < the N strongest cells > on that frequency were found not suitable due to belonging to a PLMN which is not indicated as being equivalent to the registered PLMN. N is UE implementation and the UE should check at least 2 if there is more than one.
2. If a cell is barred in NR-U, due to the registered PLMN or selected PLMN does not match one of the PLMN IDs in SIB1, “IntraFreqReselection” shall be always interpreted as “allowed”. The same applies if SIB1 is not decoded.

**Agreements**

=> For normal HO and CHO, no new event triggers will be introduced. RRSI CO measurements can be included in the measurement reports.

**Agreements:**

1. No additional mechanisms are introduced to help the UE find and identify NR-U target cells. The existing/agreed whitelist/blacklist configuration and CGI reports are considered sufficien.
2. No additional mechanisms are introduced to address PCI collisions in Rel-16

## RAN2#108 Reno

**Agreements**

1 sl60 and sl160 are added to configuration of ra-ResponseWindow

**Agreements:**

1. UE can trigger SR if there is no available UL resources for sending the MAC CE for SCell UL LBT problem, using the same framework as BFR.
2. MAC CE for UL LBT problem has higher priority than data but lower priority than the BFR MAC CE.
3. The MAC CE should be transmitted on a different serving cell other than the SCell which has the UL LBT problem
4. The MAC CE can report multiple failed Cells. The MAC CE format should support multiple entries to indicate all the Cells which have already declared consistent UL LBT failure. UL LBT MAC CE includes Cell index(s) where UL LBT failure occurs.
5. As a baseline, the format of the LBT failure MAC CE is a bitmap to indicate if corresponding serving cell has declared consistent LBT failure.
6. Cancel the consistent LTB failure for a serving cell (or BWP(s)) (i.e. do not consider Cell as having LBT failure) upon UE successfully transmit a LBT failure MAC CE indicating the serving cell. FFS what successfully transmission means (i.e. ideally align with BFR unless there are some issues).
7. When consistent UL LBT failure is declared on SpCell, UE triggers MAC CE to indicate where failure happened. The MAC CE is sent on the BWP that the UE switched to during RA procedure.
8. FFS When UE switches to another BWP and initiate RACH upon declaration of consistent LBT failure on SpCell, ONLY RACH is initiated.
9. A new failure type for PSCell consistent UL LBT failure is added in the SCGFailureInformation.
10. No new re-establishment cause is introduced in the RRC re-establishment message. “Other” failure will be used

**Agreements:**

1. From MAC perspective, if LBT fails for the preamble, the UE also cancel PUSCH transmission
2. The PREAMBLE\_TRANSMISSION\_COUNTER is not increased if the preamble is not transmitted due to failure of the LBT for the preamble
3. If preamble is transmitted but LBT for msgA PUSCH fails, the UE monitors downlink PDCCH for fallback RAR. FFS how and whether to deal with the C-RNTI case for connected mode
4. The 2 LSBs for the SFN corresponding to msgA transmission time is included in msgB DCI, as for licenced case (pending RAN1)

**Agreements of CG:**

1. The multiple configured grants of a BWP can be explicitly configured to share a common pool of HARQ processes. If HARQ processes are shared the same CG timer value has to be configured.
2. The processes with TB pending for retransmission shall be prioritized over the processes for new transmissions as already agreed for single CG case.
3. Retransmissions can be done on different CG resources as long as they are with the same TBS with the same HARQ process
4. cg-RetransmissionTimer is always configured for NR-U
5. For a HARQ process, the associated CGT timer is only started when the TB using this HARQ process is initially transmitted, and set to the timer value according to the CG configuration used.
6. The cg-RetransmissionTimer for the HARQ process is started and restarted for every transmission attempt of the TB when LBT succeeds, using the timer value according to the CG configuration which is used for the transmission.

=> For UL CG, if DCCH SDU is included in MAC PDU, UE select the CAPC index of DCCH. Otherwise, UE select the highest CAPC index (lowest priority) of LCHs multiplexed in MAC PDU.

**Agreements:**

1 The UE uses CAPC 4 for the MAC CE for Recommended bit rate query.

2 It is up to UE implementation how to prioritize among retransmissions on CGs

**Agreements**

1 For multi-TTI UL grant, UE is allowed to map generated TB(s) internally to different HARQ processes in case of LBT failure(s), i.e. UE may transmit a TB pending for transmission in a HARQ process due to a failed LBT in a different HARQ process being associated with a PUSCH for which LBT was successful. FFS how it is captured in the spec

**Agreements**

1 Increased number of PUCCH Cell Groups and increased number of PUCCH SCells are not supported in Rel-16.

**Agreement**

1. The UE can determine whether it should monitor additional PDCCH monitoring occasions using a mechanism other than just P-RNTI. We will use existing signalling/mechansims to indicate (e.g. in the paging message itself, short message in the DCI)

**Agreements**

1 As an additional stopping condition, short message for signalling of paging stopping indication is used. The existing RRC short message is used.

2 The paging stopping indication is addressed to all the UEs which monitor a given PO, i.e. there is no per UE group indication

3 The indication would be for all the UEs to stop paging monitoring in this PO. If the short message is sent the bit is always set to ‘1’

**Agreements:**

1 In case of NR-U carriers, the UE may read the system information of the non-strongest cells and report the found PLMNs to NAS.

2 On NR-U frequencies the UE may search for additional cells to find suitable cells during cell selection