**3GPP TSG-RAN WG2 Meeting #109-e R2-2000996**

**e-meeting, 24-28 February 2020**

|  |
| --- |
| *CR-Form-v11.2* |
| **CHANGE REQUEST** |
|  |
|  | **38.321** | **CR** | **0692** | **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 2-step RACH |
|  |  |
| ***Source to WG:*** | ZTE Corporation, Sanechips |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | NR\_2step\_RACH-Core, NR\_unlic-Core,TEI16 |  | ***Date:*** | 2020-02-13 |
|  |  |  |  |  |
| ***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 canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
|  |  |
| ***Reason for change:*** | Introduction of 2-step RACH  |
|  |  |
| ***Summary of change:*** | Agreements until RAN2#108 are captured in this document |
|  |  |
| ***Consequences if not approved:*** | 2-step RACH feature is not supported.  |
|  |  |
| ***Clauses affected:*** |  |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** | **X** |  |  Other core specifications  | 38.331, 38.306, 38.211, 38.212, 38.313 |
| ***affected:*** |  | **x** |  Test specifications |  |
| ***(show related CRs)*** |  | **x** |  O&M Specifications |  |
|  |  |
| ***Other comments:*** |  |

|  |
| --- |
| First change |

Editor’s Note: The Contents need to be updated after implementing the changes (new sections have been added)

Contents

Foreword 6

1 Scope 7

2 References 7

3 Definitions, symbols and abbreviations 8

3.1 Definitions 8

3.2 Abbreviations 8

4 General 9

4.1 Introduction 9

4.2 MAC architecture 9

4.2.1 General 9

4.2.2 MAC Entities 9

4.3 Services 10

4.3.1 Services provided to upper layers 10

4.3.2 Services expected from physical layer 11

4.4 Functions 11

4.5 Channel structure 11

4.5.1 General 11

4.5.2 Transport Channels 11

4.5.3 Logical Channels 12

4.5.4 Mapping of Transport Channels to Logical Channels 12

4.5.4.1 General 12

4.5.4.2 Uplink mapping 12

4.5.4.3 Downlink mapping 12

5 MAC procedures 13

5.1 Random Access procedure 13

5.1.1 Random Access procedure initialization 13

5.1.2 Random Access Resource selection 16

5.1.3 Random Access Preamble transmission 18

5.1.4 Random Access Response reception 19

5.1.5 Contention Resolution 21

5.1.6 Completion of the Random Access procedure 22

5.2 Maintenance of Uplink Time Alignment 22

5.3 DL-SCH data transfer 24

5.3.1 DL Assignment reception 24

5.3.2 HARQ operation 25

5.3.2.1 HARQ Entity 25

5.3.2.2 HARQ process 25

5.3.3 Disassembly and demultiplexing 26

5.4 UL-SCH data transfer 27

5.4.1 UL Grant reception 27

5.4.2 HARQ operation 28

5.4.2.1 HARQ Entity 28

5.4.2.2 HARQ process 30

5.4.3 Multiplexing and assembly 30

5.4.3.1 Logical Channel Prioritization 30

5.4.3.1.1 General 30

5.4.3.1.2 Selection of logical channels 31

5.4.3.1.3 Allocation of resources 31

5.4.3.2 Multiplexing of MAC Control Elements and MAC SDUs 32

5.4.4 Scheduling Request 32

5.4.5 Buffer Status Reporting 34

5.4.6 Power Headroom Reporting 36

5.5 PCH reception 38

5.6 BCH reception 38

5.7 Discontinuous Reception (DRX) 38

5.8 Transmission and reception without dynamic scheduling 40

5.8.1 Downlink 40

5.8.2 Uplink 41

5.9 Activation/Deactivation of SCells 42

5.10 Activation/Deactivation of PDCP duplication 43

5.11 MAC reconfiguration 44

5.12 MAC Reset 44

5.13 Handling of unknown, unforeseen and erroneous protocol data 45

5.14 Handling of measurement gaps 45

5.15 Bandwidth Part (BWP) operation 45

5.16 SUL operation 47

5.17 Beam Failure Detection and Recovery procedure 48

5.18 Handling of MAC CEs 49

5.18.1 General 49

5.18.2 Activation/Deactivation of Semi-persistent CSI-RS/CSI-IM resource set 49

5.18.3 Aperiodic CSI Trigger State Subselection 49

5.18.4 Activation/Deactivation of UE-specific PDSCH TCI state 50

5.18.5 Indication of TCI state for UE-specific PDCCH 50

5.18.6 Activation/Deactivation of Semi-persistent CSI reporting on PUCCH 50

5.18.7 Activation/Deactivation of Semi-persistent SRS 50

5.18.8 Activation/Deactivation of spatial relation of PUCCH resource 50

5.18.9 Activation/Deactivation of semi-persistent ZP CSI-RS resource set 51

5.18.10 Recommended Bit Rate 51

5.19 Data inactivity monitoring 51

6 Protocol Data Units, formats and parameters 52

6.1 Protocol Data Units 52

6.1.1 General 52

6.1.2 MAC PDU (DL-SCH and UL-SCH except transparent MAC and Random Access Response) 52

6.1.3 MAC Control Elements (CEs) 53

6.1.3.1 Buffer Status Report MAC CEs 53

6.1.3.2 C-RNTI MAC CE 58

6.1.3.3 UE Contention Resolution Identity MAC CE 58

6.1.3.4 Timing Advance Command MAC CE 58

6.1.3.5 DRX Command MAC CE 59

6.1.3.6 Long DRX Command MAC CE 59

6.1.3.7 Configured Grant Confirmation MAC CE 59

6.1.3.8 Single Entry PHR MAC CE 59

6.1.3.9 Multiple Entry PHR MAC CE 60

6.1.3.10 SCell Activation/Deactivation MAC CEs 62

6.1.3.11 Duplication Activation/Deactivation MAC CE 63

6.1.3.12 SP CSI-RS/CSI-IM Resource Set Activation/Deactivation MAC CE 63

6.1.3.13 Aperiodic CSI Trigger State Subselection MAC CE 64

6.1.3.14 TCI States Activation/Deactivation for UE-specific PDSCH MAC CE 65

6.1.3.15 TCI State Indication for UE-specific PDCCH MAC CE 65

6.1.3.16 SP CSI reporting on PUCCH Activation/Deactivation MAC CE 66

6.1.3.17 SP SRS Activation/Deactivation MAC CE 67

6.1.3.18 PUCCH spatial relation Activation/Deactivation MAC CE 68

6.1.3.19 SP ZP CSI-RS Resource Set Activation/Deactivation MAC CE 69

6.1.3.20 Recommended bit rate MAC CE 69

6.1.4 MAC PDU (transparent MAC) 70

6.1.5 MAC PDU (Random Access Response) 70

6.2 Formats and parameters 71

6.2.1 MAC subheader for DL-SCH and UL-SCH 71

6.2.2 MAC subheader for Random Access Response 72

6.2.3 MAC payload for Random Access Response 73

7 Variables and constants 73

7.1 RNTI values 73

7.2 Backoff Parameter values 74

7.3 DELTA\_PREAMBLE values 75

7.4 PRACH Mask Index values 76

Annex A (informative): Change history 77

|  |
| --- |
| Next change |

# 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 for Msg1. These are also applicable to the MSGA PRACH if the ROs are shared between 2-step and 4-step Random Access types;

- *msgA-prach-ConfigurationIndex*: the available set of PRACH occasions for the transmission of the Random Access Preamble for MSGA in 2-step random access;

- *preambleReceivedTargetPower*: initial Random Access Preamble power;

- *rsrp-ThresholdSSB*: an RSRP threshold for the selection of the SSB for 4-step RA. 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;

- *msgA-RSRP-ThresholdSSB*: an RSRP threshold for the selection of the SSB for 2-step RA. If the Random Access procedure is initiated for beam failure recovery, *msgA-RSRP-ThresholdSSB* used for the selection of the SSB within *candidateBeamRSList* refers to *msgA-RSRP-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;

- *msgA-RSRP-ThresholdCSI-RS*: an RSRP threshold for the selection of CSI-RS for 2-step RA. If the Random Access procedure is initiated for beam failure recovery, *msgA-RSRP-ThresholdCSI-RS* is equal to *msgA-RSRP-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;Editor’s Note: *msgA-RSRP-ThresholdCSI-RS* does not exist in RRC yet (but *msgA-RSRP-ThresholdSSB* exists) and these are FFS pending further agreements in RAN2.

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

*- msgA-RSRP-Threshold*: an RSRP threshold for selection between 2-step random access type and 4-step random access type when both 2-step and 4-step random access resources are configured in the UL BWP for NUL;

*- msgA-RSRP-ThresholdSUL*: an RSRP threshold for selection between 2-step random access type and 4-step random access type when both 2-step and 4-step random access resources are configured in the UL BWP for SUL;

- *msgA-TransMax*: The maximum number of MSGA transmissions when both 4-step and 2-step Random Access resources are configured;

- *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;

- *msgA-PreamblePowerRampingStep:* the power ramping factor for MSGA preamble;

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

- *msgA-PowerRampingStepHighPriority:* the power-ramping factor in case of prioritized 2-step random access procedure;

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

- *msgA-ScalingFactorBI*: a scaling factor for prioritized 2-step random access procedure;

Editor’s Note: *msgA-PowerRampingStepHighPriority* and *msgA-ScalingFactorBI* do not exist in RRC. This needs to be aligned one way or the other.

- *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);

- *msgA-SSB-SharedRO-MaskIndex*: Indicates the subset of 4-step type random access ROs shared with 2-step type random access ROs for each SSB. If 2-step random access ROs are shared with 4-step random access ROs and *msgA-SSB-SharedRO-MaskIndex* is not configured, then all 4-step random access ROs are available for 2-step random access (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 for 4-step random access and the number of contention-based Random Access Preambles mapped to each SSB;

- *msgA-SSB-PerRACH-OccasionAndCB-PreamblesPerSSB*: defines the number of SSBs mapped to each PRACH occasion for 2-step random access 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 for 4-step random access type.

- Amongst the contention-based Random Access Preambles for 4-step random access 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).

- if *groupB-ConfiguredTwoStepRA* is configured, then Random Access Preambles group B is configured for 2-step random access type.

- Amongst the contention-based Random Access Preambles for 2-step random access associated with an SSB (as defined in TS 38.213 [6]), the first *msgA-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 for 4-step random access type:

- *ra-Msg3SizeGroupA*: the threshold to determine the groups of Random Access Preambles for 4-step random access type;

- *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.

- if Random Access Preambles group B is configured for 2-step random access type:

- *msgA-DeltaPreamble*: ∆*PREAMBLE\_MsgA* in TS 38.213 [6];

- *msgA-messagePowerOffsetGroupB*: the power offset for preamble selection configured as *messagePowerOffsetGroupB* included in *GroupB-ConfiguredTwoStepRA*;

- *msgA-numberOfRA-PreamblesGroupA*: defines the number of Random Access Preambles in Random Access Preamble group A for each SSB configured as *numberofRA-PreamblesGroupA* in *GroupB-ConfiguredTwoStepRA*.

- *ra-MsgASizeGroupA*: the threshold to determine the groups of Random Access Preambles for 2-step random access type;

- 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);

- *msgB-ResponseWindow*: the time window to monitor RA response(s) for 2-step random access (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;*

- *RA\_TYPE*;

- *POWER\_OFFSET\_2STEP\_RA*;

- *MSGA\_PREAMBLE\_POWER\_RAMPING\_STEP;*

- *RSRP\_THRESHOLD\_RA\_TYPE\_SELECTION*.

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

1> flush the Msg3 buffer;

1> flush the MSGA 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> set *POWER\_OFFSET\_2STEP\_RA* to 0 dB;

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;

2> set the *RSRP\_THRESHOLD\_RA\_TYPE\_SELECTION* to *msgA-RSRP-ThresholdSUL*.

1> else:

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

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

2> set the *RSRP\_THRESHOLD\_RA\_TYPE\_SELECTION* to *msgA-RSRP-Threshold*.

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

1> if random access procedure is initiated by PDCCH order and if the *ra-PreambleIndex* explicitly provided by PDCCH is not 0b000000; or

1> if the Random Access procedure was initiated for SI request (as specified in TS 38.331 [5]) and the Random Access Resources for SI request have been explicitly provided by RRC; or

1> if the Random Access procedure was initiated for beam failure recovery (as specified in clause 5.17) and if the contention-free Random Access Resources for beam failure recovery request for 4-step random access have been explicitly provided by RRC for the BWP selected for random access procedure; or

1> if the Random Access procedure was initiated for reconfiguration with sync and if the contention-free Random Access Resources for 4-step random access have been explicitly provided in *rach-ConfigDedicated* for the BWP selected for random access:

2> set the *RA\_TYPE* to *4-stepRA*;

1> else if the BWP selected for random access procedure is configured with both 2-step and 4-step random access resources and the RSRP of the downlink pathloss reference is above *RSRP\_THRESHOLD\_RA\_TYPE\_SELECTION*; or

1> if the BWP selected for random access procedure is only configured with 2-step random access resources (i.e. no 4-step RACH resources configured); or

1> if the Random Access procedure was initiated for reconfiguration with sync and if the contention-free Random Access Resources for 2-step random access have been explicitly provided in *rach-ConfigDedicated* for the BWP selected for random access:

2> set the *RA\_TYPE* to *2-stepRA*;

1> else:

2> set the RA\_TYPE to *4-stepRA*;

1> perform initialization of variables specific to random access type as specified in sub-clause 5.1.1a;

1> if RA\_TYPE is set to 2-stepRA:

2> perform the random access resource selection procedure for 2-step random access (see clause 5.1.2a);

1> else:

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

#### 5.1.1a Initialization of variables specific to Random Access type

The MAC entity shall:

1> if RA\_TYPE is set to 2-stepRA:

2> set PREAMBLE\_POWER\_RAMPING\_STEP to *msgA-PreamblePowerRampingStep*;

2> set SCALING\_FACTOR\_BI to 1;

2> set *preambleTransMax* to *preambleTransMax* included in the *RACH-ConfigGenericTwoStepRA;*

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

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

3> if *ra-PrioritizationTwoStep* is configured in the *beamFailureRecoveryConfig*:

4> set PREAMBLE\_POWER\_RAMPING\_STEP to the *powerRampingStepHighPriority* included in the *ra-PrioritizationTwoStep* in *beamFailureRecoveryConfig*.

4*sra-PrioritizationTwoStep* in *beamFailureRecoveryConfig*

5*s*

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

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

3> if *ra-PrioritizationTwoStep* is configured in the *rach-ConfigDedicated*:

4> set PREAMBLE\_POWER\_RAMPING\_STEP to the *powerRampingStepHighPriority* included in the *ra-PrioritizationTwoStep* in *rach-ConfigDedicated*.

4> if *scalingFactorBI* is configured in *ra-PrioritizationTwoStep* in the rach-ConfigDedicated:

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

2> if *ra-PrioritizationForAccessIdentityTwoStep* is configured for the selected carrier; and

2> if one or more Access Identities has been explicitly provided by RRC; and

2> if for at least one of these Access Identities the corresponding bit in the *ra-PriorizationForAI* is set to *one*:

3> if *powerRampingStepHighPriority* is configured in the *ra-PrioritizationForAccessIdentityTwoStep*:

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

3> if *scalingFactorBI* is configured in the *ra-PrioritizationForAccessIdentityTwoStep*:

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

2> set *MSGA\_PREAMBLE\_POWER\_RAMPING\_STEP* to *PREAMBLE\_POWER\_RAMPING\_STEP.*

1> else: (i.e. RA\_TYPE is set to *4-stepRA*)

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

2> set SCALING\_FACTOR\_BI to 1;

2> set *preambleTransMax* to *preambleTransMax* included in the *RACH-ConfigGeneric;*2> if the Random Access procedure was initiated for beam failure recovery (as specified in clause 5.17); and

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

3> start the *beamFailureRecoveryTimer*, if configured;

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

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

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

3> else:

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

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

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

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

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

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

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

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

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

2> if *ra-PrioritizationForAccessIdentity* is configured for the selected carrier; and

2> if one or more Access Identities has been explicitly provided by RRC; and

2> if for at least one of these Access Identities the corresponding bit in the *ra-PriorizationForAI* is set to *one*:

3> if *powerRampingStepHighPriority* is configured in the *ra-PrioritizationForAccessIdentity*:

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

3> if *scalingFactorBI* is configured in the *ra-PrioritizationForAccessIdentity*:

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

2> if RA\_TYPE is switched from 2-stepRA to 4-step RA during this random access procedure:

3> set *POWER\_OFFSET\_2STEP\_RA* to (*PREAMBLE\_POWER\_RAMPING\_COUNTER* – 1) × (*MSGA\_PREAMBLE\_POWER\_RAMPING\_STEP - PREAMBLE\_POWER\_RAMPING*).

### 5.1.2 Random Access Resource selection

If the selected *RA\_TYPE* is set to *4-stepRA*, 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 the *RA\_TYPE* is switched from *2-stepRA* to *4-stepRA* and Msg3 has not yet been transmitted:

3> if a Random Access Preambles group was selected during the current Random Access procedure:

4> select the same group of Random Access Preambles as was selected for the 2-step Random Access;

3> else

4> if Random Access Preambles group B is configured:

5> if the payload size of the MSGA transmitted during 2-step Random Access was greater than *ra-MsgASizeGroupA*:

6> select the Random Access Preambles group B.

5> else:

6> select the Random Access Preambles group A.

4> else:

5> select the Random Access Preambles group A.

2> else if Msg3 has not yet been transmitted:

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: 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.

### 5.1.2a Random Access Resource selection for 2-step random access

If the selected *RA\_TYPE* is set to *2-stepRA*, the MAC entity shall:

1> if the contention-free 2-step Random Access Resources associated with SSBs have been explicitly provided in *rach-ConfigDedicated* and at least one SSB with SS-RSRP above *msgA-RSRP-ThresholdSSB* amongst the associated SSBs is available:

2> select an SSB with SS-RSRP above *msgA-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 2-step Random Access Resources associated with CSI-RSs have been explicitly provided in *rach-ConfigDedicated* and at least one CSI-RS with CSI-RSRP above *msgA-RSRP-ThresholdCSI-RS* amongst the associated CSI-RSs is available:

2> select a CSI-RS with CSI-RSRP above *msgA- 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 (i.e. for the contention-based Random Access Preamble selection):

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

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

2> else:

3> select any SSB.

2> if MSGA has not yet been transmitted and contention-free Random Access Resources for 2-step random access have not been configured:

3> if Random Access Preambles group B for 2-step RA is configured:

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

Editor’s Note: The variable name msgA-messagePowerOffsetGroupB needs to be aligned with RRC (it is called messagePowerOffsetGroupB).

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-MsgASizeGroupA*:

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 if contention-free Random Access Resources for 2-step random access have been configured:

3> if the payload size of the MSGA (including the MAC header and all the MAC CEs) is greater than *ra-MsgASizeGroupA*:

4> select the Random Access Preambles group B.

3> else:

4> select the Random Access Preambles group A.

2> else (i.e. MSGA 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 earlier transmission of MSGA.

2> select a Random Access Preamble randomly with equal probability from the 2-step 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> determine the next available PRACH occasion from the PRACH occasions corresponding to the selected SSB permitted by the restrictions given by the *msgA-SSB-SharedRO-MaskIndex* if configured and *ra-ssb-OccasionMaskIndex* if configured (the MAC entity shall select a PRACH occasion randomly with equal probability among the consecutive PRACH occasions allocated for 2-step random access according to subclause 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> determine the UL grant and the associated HARQ information for the PUSCH resource of MSGA associated with the selected preamble and PRACH occasion according to subclause 8.1A of TS 38.213 [6];

1> deliver the UL grant and the associated HARQ information to the HARQ entity;

1> perform the MSGA transmission procedure (see subclause 5.1.3a).

NOTE: To determine if there is an SSB with *SS-RSRP* above *msgA-RSRP-ThresholdSSB*, the UE uses the latest unfiltered *L1-RSRP* measurement.

### 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 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 + POWER\_OFFSET\_2STEP\_RA*;

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*.

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).

### 5.1.3a MSGA transmission

The MAC entity shall, for each MSGA:

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 MSGA Random Access Preamble transmission; and

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> if this is the first MSGA transmission within this Random Access procedure:

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

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

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

1> compute the MSGB-RNTI associated with the PRACH occasion in which the Random Access Preamble is transmitted;

1> instruct the physical layer to transmit the MSGA using the selected PRACH occasion and the associated PUSCH resource, using the corresponding RA-RNTI, MSGB-RNTI, *PREAMBLE\_INDEX*, *PREAMBLE\_RECEIVED\_TARGET\_POWER, preambleReceivedTargetPower*, and the amount of power ramping applied to the latest MSGA preamble transmission (i.e. (*PREAMBLE\_POWER\_RAMPING\_COUNTER* – 1) × *PREAMBLE\_POWER\_RAMPING\_STEP*);

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

2> instruct the physical layer to cancel the transmission of the MSGA payload on the associated PUSCH resource;

2> perform the Random Access Resource selection procedure for 2-step random access (see clause 5.1.2a).

NOTE: The MSGA transmission includes the transmission of the PRACH Preamble as well as the contents of the MSGA buffer in the PUSCH resource corresponding to the selected PRACH occasion and PREAMBLE\_INDEX (see TS 38.213 [6])

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

MSGB-RNTI = 1 + s\_id + 14 × t\_id + 14 × 80 × f\_id + 14 × 80 × 8 × ul\_carrier\_id + 14 × 80 × 8 × 2

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). The RA-RNTI is calculated as specified in subclause 5.1.3.

### 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 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.

### 5.1.4a MSGB reception and contention resolution for 2-step random access

Once the MSGA preamble is transmitted, regardless of the possible occurrence of a measurement gap, the MAC entity shall:

1> start the *msgB-ResponseWindow* at the first PDCCH occasion from the end of the MSGA transmission as specified in TS 38.213 [6];

1> monitor the PDCCH of the SpCell for a Random Access response identified by MSGB-RNTI while the *msgB-ResponseWindow* is running;

1> if C-RNTI MAC CE was included in the MSGA:

2> monitor the PDCCH of the SpCell for random access response identified by the C-RNTI while the *msgB-ResponseWindow* is running;

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 MSGA:

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:

4> consider this Random Access Response reception successful;

4> stop the *msgB-ResponseWindow*;

4> consider this Random Access procedure successfully completed.

3> else if the *timeAlignmentTimer* associated with the PTAG is running:

4> if the PDCCH transmission is addressed to the C-RNTI and contains a UL grant for a new transmission:

5> consider this Random Access Response reception successful;

5> stop the *msgB-ResponseWindow*;

5> consider this Random Access procedure successfully completed.

3> else:

4> if a downlink assignment has been received on the PDCCH for the C-RNTI and the received TB is successfully decoded:

5> if the MAC PDU contains the *Absolute Timing Advance Command* MAC CE subPDU:

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

6> consider this Random Access Response reception successful;

6> stop the *msgB-ResponseWindow*;

6> consider this Random Access procedure successfully completed and finish the disassembly and demultiplexing of the MAC PDU.

2> if a downlink assignment has been received on the PDCCH for the MSGB-RNTI and it includes the two LSB bits of the SFN corresponding to the PRACH occasion used to transmit the Random Access Preamble of MSGA and the received TB is successfully decoded:

3> if the MSGB contains a MAC subPDU with Backoff Indicator:

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

3> else:

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

3> if the MSGB contains a *fallbackRAR* MAC subPDU; and

3> if the Random Access Preamble identifier in the MAC subPDU matches the transmitted *PREAMBLE\_INDEX* (see subclause 5.1.3a):

4> consider this Random Access Response reception successful;

4> apply the following actions for the SpCell:

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

6> consider the Random Access procedure successfully completed.

5> else:

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

5> if the Msg3 buffer is empty:

6> obtain the MAC PDU to transmit from the MSGA buffer and store it in the Msg3 buffer;

5> process the received UL grant value and indicate it to the lower layers and proceed with Msg3 transmission;

NOTE: If within a 2-step random access procedure, an uplink grant provided in the fallback RAR has a different size than the MSGA payload, the UE behavior is not defined.

3> else if the MSGB contains a *successRAR* MAC subPDU; and

3> if the CCCH SDU was included in the MSGA and the UE Contention Resolution Identity in the MAC subPDU matches the CCCH SDU:

4> stop *msgB-ResponseWindow*;

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

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

4> else:

5> set the C-RNTI to the value received in the *successRAR;*

5> apply the following actions for the SpCell:

6> process the received Timing Advance Command (see subclause 5.2);

6> 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*);

4> deliver the *TPC*, *PUCCH resource Indicator* and *HARQ feedback Timing Indicator* received in *successRAR* to lower layers.

4> consider this Random Access Response reception successful;

4> consider this Random Access procedure successfully completed;

4> finish the disassembly and demultiplexing of the MAC PDU.

1> if *msgB -ResponseWindow* expires, and the Random Access Response Reception has not been considered as successful based on descriptions above:

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

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

3> indicate a Random Access problem to upper layers;

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

4> consider this Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

3> if *msgA-TransMax* is configured and PREAMBLE\_TRANSMISSION\_COUNTER = *msgA-TransMax* + 1:

4> set the RA\_TYPE to *4-stepRA*;

4> perform initialization of variables specific to random access type as specified in sub-clause 5.1.1a;

4> if the Msg3 buffer is empty:

5> obtain the MAC PDU to transmit from the MSGA buffer and store it in the Msg3 buffer;

4> flush HARQ buffer used for the transmission of MAC PDU in the MSGA buffer;

4> discard explicitly signalled contention-free 2-step Random Access Resources;

4> perform the Random Access Resource selection procedure as specified in subclause 5.1.2.

3> else:

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

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

5>perform the Random Access Resource selection procedure for 2-step random access (see clause 5.1.2a);

4> else:

5> perform the Random Access Resource selection procedure for 2-step random access (see subclause 5.1.2a) after the backoff time.

Upon receiving a *fallbackRAR*, the MAC entity may stop *msgB-ResponseWindow* once the Random Access Response reception is considered as successful.

### 5.1.5 Contention Resolution

Once Msg3 is transmitted, 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;

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> if the *RA\_TYPE* is set to *4-stepRA*:

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

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

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

4> else:

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

3> else (if the *RA\_TYPE* is set to *2-stepRA*):

4> if *msgA-TransMax* is configured and PREAMBLE\_TRANSMISSION\_COUNTER = *msgA-TransMax* + 1:

5> set the RA\_TYPE to *4-stepRA*;

5> perform initialization of variables specific to random access type as specified in sub-clause 5.1.1a;

5> flush HARQ buffer used for the transmission of MAC PDU in the MSGA buffer;

5> discard explicitly signalled contention-free 2-step Random Access Resources;

5> perform the Random Access Resource selection as specified in subclause 5.1.2.

4> else:

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

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

6> perform the Random Access Resource selection procedure for 2-step random access as specified in clause 5.1.2a;

5> else:

6> perform the Random Access Resource selection for 2-step random access procedure (see clause 5.1.2a) 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 and the MSGA 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 or in a MSGB for an SpCell:

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 an Absolute Timing Advance Commandis received in response to a MSGA transmission including C-RNTI MAC CE as specified in clause 5.1.4a:

2> apply the Timing Advance Command for PTAG;

2> start or restart the *timeAlignmentTimer* associated with PTAG.

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 and MSGA 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 and MSGA transmission on the SpCell.

|  |
| --- |
| Next change |

#### 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 associated with a transmission indicated with a MSGB-RNTI and the Random Access procedure is not yet successfully completed (see clause 5.1.4a); 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 clauses 6.1.2 and 6.1.5a.

## 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, configured semi-persistently by RRC or determined to be associated with the PUSCH resource of MSGA as specified in subclause 5.1.2a. The MAC entity shall have an uplink grant to transmit on the UL-SCH. To perform the requested transmissions, the MAC layer receives HARQ information from lower layers.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4> trigger configured uplink grant confirmation.

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

4> trigger configured uplink grant confirmation;

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

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

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

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

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

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

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

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

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

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

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

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

NOTE 1: CURRENT\_symbol refers to the symbol index of the first transmission occasion of a 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 a grant in a MAC RAR or a fallbackRAR or a grant is determined as specified in subclause 5.1.2a for MSGA payload and if the MAC entity also receives 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/MSGB-RNTI/the MSGA payload transmission 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 or for UL transmission for MSGA payload, HARQ process identifier 0 is used.

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 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 MAC RAR or a fallback RAR; or

2> if the uplink grant was determined as specified in subclause 5.1.2a for the transmission of the MSGA payload; 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 MSGA buffer and the uplink grant determined as specified in subclause 5.1.2a for the transmission of the MSGA payload was selected:

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

3> else if there is a MAC PDU in the Msg3 buffer and the uplink grant was received in a fallbackRAR:

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

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

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

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

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

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

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

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

3> else:

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

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

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

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

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

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

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

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

3> else:

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

2> else (i.e. retransmission):

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

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

3> if the uplink grant is part of a bundle of the configured uplink grant, and the PUSCH duration of the uplink grant overlaps with a PUSCH duration of another uplink grant received on the PDCCH or an uplink grant received in a MAC RAR or fallbackRAR or an uplink grant determined as specified in subclause 5.1.2a for MSGA payload for this Serving Cell:

4> ignore the uplink grant.

3> else:

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

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

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

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

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

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

#### 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.

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 the MAC PDU was obtained from the MSGA 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 or the MSGA buffer:

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

|  |
| --- |
| Next change |

### 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, at most one PUCCH resource for SR is configured per BWP.

Each SR configuration corresponds to one or more logical channels. Each logical channel 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) 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) triggered prior to the MAC PDU assembly shall be cancelled and each respective *sr-ProhibitTimer* shall be stopped when the MAC PDU is transmitted 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) shall be cancelled and each respective *sr-ProhibitTimer* shall be stopped when the UL grant(s) can accommodate all pending data available for transmission.

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

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

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

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

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

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

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

2> if the PUCCH resource for the SR transmission occasion does not overlap with a measurement gap; 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> increment *SR\_COUNTER* by 1;

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

4> 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.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR 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 using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in subclause 5.1.2a for the transmission of the MSGA payload, and this PDU includes a BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly, or when the UL grant(s) can accommodate all pending data available for transmission.

|  |
| --- |
| Next change |

## 5.12 MAC Reset

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

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

1> stop (if running) all timers;

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

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

1> stop, if any, ongoing RACH procedure;

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

1> flush Msg3 buffer;

1> flush MSGA buffer;

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

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

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

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

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

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

1> reset *BFI\_COUNTER*.

## 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 or the MSGA payload 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.

|  |
| --- |
| Next change |

## 5.15 Bandwidth Part (BWP) operation

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

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

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

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.

1> if a BWP is deactivated:

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

2> not transmit on RACH on the BWP;

2> not monitor the PDCCH on the BWP;

2> not transmit PUCCH on the BWP;

2> not report CSI for the BWP;

2> not transmit SRS on the BWP;

2> not receive DL-SCH on the BWP;

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

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

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

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

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

2> if the Serving Cell is an SpCell:

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

1> else:

2> if the Serving Cell is an SpCell:

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

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

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

1> if the Serving Cell is SCell:

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

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

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

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

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

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

If the MAC entity receives a PDCCH for BWP switching for a Serving Cell 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, 5.1.4a and 5.1.5) in which case the UE shall perform BWP switching to a BWP indicated by the PDCCH. Upon reception of the PDCCH for BWP switching other than successful contention resolution, if the MAC entity decides to perform BWP switching, the MAC entity shall stop the ongoing Random Access procedure and initiate a Random Access procedure after performing the BWP switching; if the MAC decides to ignore the PDCCH for BWP switching, the MAC entity shall continue with the ongoing Random Access procedure on the Serving Cell.

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

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

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

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

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

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

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

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

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

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

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

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

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

3> else:

4> perform BWP switching to the *initialDownlinkBWP*.

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

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

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

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

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

|  |
| --- |
| Next change |

#### 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

#### 6.1.3.4a Absolute Timing Advance Command MAC CE

The Absolute 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 two octets defined as follows (Figure 6.1.3.4a-1):

- Timing Advance Command: This 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 field is 12 bits;

- R: Reserved bit, set to "0".

 

Figure 6.1.3.4a-1: Absolute Timing Advance Command MAC CE

|  |
| --- |
| Next change |

### 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

### 6.1.5a MAC PDU (MSGB)

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 and fallbackRAR;

- a MAC subheader and successRAR;

- a MAC subheader and MAC SDU for CCCH or DCCH;

- a MAC subheader and padding.

A MAC subheader with Backoff Indicator consists of five header fields E/T1/T2/R/BI as described in Figure 6.1.5a-1. A MAC subPDU with Backoff Indicator only is placed at the beginning of the MAC PDU, if included.

A MAC subheader for fallbackRAR consists of three header fields E/T1/RAPID as described in Figure 6.1.5a-2. A MAC subheader for successRAR consists of eight header fields E/T1/T2/S/R/R/R/R as described in Figure 6.1.5a-3. A MAC subheader for MAC SDU consists of the four header fields R/F/LCID/L as described in Figure 6.1.2-1 and Figure 6.1.2-2.

At most one 'MAC subPDU for success RAR' indicating presence of 'MAC subPDU(s) for MAC SDU' is included in a MAC PDU. MAC subPDU(s) for MAC SDU are placed immediately after the 'MAC subPDU for success RAR' indicating presence of 'MAC subPDU(s) for MAC SDU'.

If MAC PDU includes MAC subPDU(s) for MAC SDU, the last MAC subPDU for MAC SDU is placed before MAC subPDU with padding as depicted in Figure 6.1.5a-4. Otherwise, the last MAC subPDU in MAC PDU is placed before padding as depicted in Figure 6.1.5a-5. The MAC subPDU with padding includes R/R/LCID MAC subheader as described in Figure 6.1.2-3 and padding. The size of padding in the MAC subPDU with padding can be zero. The length of padding is implicit based on TB size, size of MAC subPDU(s).



Figure 6.1.5a-1: BI MAC subheader



Figure 6.1.5a-2: FallbackRAR MAC subheader



Figure 6.1.5a-3: SuccessRAR MAC subheader



Figure 6.1.5a-4: Example of a MSGB MAC PDU with MAC SDU(s)



Figure 6.1.5a-5: Example of a MSGB MAC PDU without MAC SDU(s)

## 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-xx | Reserved |
| YY | Absolute Timing Advance Command |
| 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 |
| 33–51 | Reserved |
| 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.

### 6.2.2a MAC subheader for MSGB

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 (other than MAC subPDU for MAC SDU) or not in the MAC PDU. The E field is set to "1" to indicate at least another MAC subPDU (other than MAC subPDU for MAC SDU) follows. The E field is set to "0" to indicate that the MAC subPDU including this MAC subheader is the last MAC subPDU (other than MAC subPDU for MAC SDU) in the MAC PDU;

- T1: The T1 field is a flag indicating whether the MAC subheader contains a Random Access Preamble ID or T2. The T1 field is set to "1" to indicate the presence of a Random Access Preamble ID field in the subheader (RAPID). The T1 field is set to "0" to indicate the presence of T2 field in the subheader;

- T2: The T2 field is a flag indicating whether the MAC subheader contains a Backoff Indicator (BI) or a MAC SDU indicator (S). The T2 field is set to "0" to indicate the presence of a Backoff Indicator field in the subheader. The T2 field is set to "1" to indicate the presence of the S field in the subheader;

- S: This field indicates whether 'MAC subPDU(s) for MAC SDU' follow the MAC subPDU including this MAC subheader or not; The S field is set to "1" to indicate presence of 'MAC subPDU(s) for MAC SDU'. The S field is set to "0" to indicate absence of 'MAC subPDU(s) for MAC SDU';

- 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 subclause 5.1.3). The size of the RAPID field is 6 bits.

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

### 6.2.3a MAC payload for MSGB

The fallbackRAR is of fixed size as depicted in Figure 6.2.3a-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 fallbackRAR is octet aligned.



Figure 6.2.3a-1: fallbackRAR

The successRAR is of fixed size as depicted in Figure 6.2.3a-2, and consists of the following fields:

- 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.

- R: Reserved bit, set to "0";

- TPC: The TPC command for the PUCCH resource containing HARQ feedback for MSGB, as specified in TS 38.213 [6]. The size of the TPC field is 2 bits;

- HARQ Feedback Timing Indicator: The PDSCH-to-HARQ feedback timing indicator field for MSGB HARQ feedback as specified in 38.213 [6]. The size of the HARQ Feedback Timing Indicator field is 3 bits;

- PUCCH resource Indicator: The PUCCH resource indicator for HARQ feedback for MSGB, as specified in TS 38.213[6]. The size of the PUCCH resource Indicator field is 4 bits;

- 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;

- C-RNTI: The C-RNTI field indicates the identity that is used by the MAC entity upon completion of Random Access. The size of the C-RNTI field is 16 bits.

The successRAR is octet aligned.



Figure 6.2.3a-2: successRAR

# 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, MSGB-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 |
| MSGB-RNTI | Random Access Response for 2-step RA | DL-SCH | CCCH, DCCH |
| 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). |