**3GPP TSG-RAN2 Meeting #116eR2-210**

**Electronic, 1st– 12th December, 2021**

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| *CR-Form-v12.1* |
| **CHANGE REQUEST** |
|  |
|  | **38.321** | **CR** | - | **rev** | - | **Current version:** | **16.4.0** |  |
|  |
| *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)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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|  |
| ***Title:***  | Running MAC CR for Small Data |
|  |  |
| ***Source to WG:*** | Huawei, HiSilicon |
| ***Source to TSG:*** | RAN2 |
|  |  |
| ***Work item code:*** | NR\_SmallData\_INACTIVE-Core |  | ***Date:*** | 2021-11-1 |
|  |  |  |  |  |
| ***Category:*** | B |  | ***Release:*** | Rel-17 |
|  | *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-15 (Release 15)Rel-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)* |
|  |  |
| ***Reason for change:*** | This CR implements agreements in RAN2 on Small Data Transmission in MAC spec TS 38.321.  |
|  |  |
| ***Summary of change:*** | PostRAN2#113bis-e, submitted to RAN2#114e as R2-2105031* Initial version0 submitted to RAN2#114e as R2-2105031 implemented agreements from RAN2#111e to RAN2#113bise

PostRAN2#114e, email discussion [Post114-e][506][SData] Running MAC CR (Huawei), submitted to RAN2#115e as R2-2107494* Implemented the agreements in RAN2#114e

PostRAN2#115e, email discussion [Post115e][507][SDT] MAC running CR update (Huawei)* Implemented the agreements in RAN2#115e
* Removed the changes to clause 5.1.1 and 5.1.1a for unified handling of all WIs in R17 related to RACH in a common RACH CR
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|  |  |
| ***Consequences if not approved:*** | Small data transmission will not be supported |
|  |  |
| ***Clauses affected:*** | 3.2, 5.1.2, 5.1.2a, 5.1.3, 5.1.3a, 5.1.4, 5.1.5, 5.2, 5.3.2.2, 5.4.1, 5.4.4, 5.4.6, 5.8.2, 5.8.2.x, 5.15.1, 5.16, 5.x, 6.1.5a, 7.1, 7.3 |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **X** |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | Ver0 in RAN2#114e: R2-2105031Ver1 in RAN2#115e: R2-2107494 |

3GPP TS 38.321 V16.4.0 (2021-03)

Technical Specification

 

The present document has been developed within the 3rd Generation Partnership Project (3GPP TM) and may be further elaborated for the purposes of 3GPP.
The present document has not been subject to any approval process by the 3GPPOrganizational Partners and shall not be implemented.
This Specification is provided for future development work within 3GPPonly. The Organizational Partners accept no liability for any use of this Specification.
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# Foreword

This Technical Specification has been produced by the 3rd Generation Partnership Project (3GPP).

The contents of the present document are subject to continuing work within the TSG and may change following formal TSG approval. Should the TSG modify the contents of the present document, it will be re-released by the TSG with an identifying change of release date and an increase in version number as follows:

Version x.y.z

where:

x the first digit:

1 presented to TSG for information;

2 presented to TSG for approval;

3 or greater indicates TSG approved document under change control.

y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.

z the third digit is incremented when editorial only changes have been incorporated in the document.

# 1 Scope

The present document specifies the NR MAC protocol.

# 2 References

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

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

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

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

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

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

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

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

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

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

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

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

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

[10] Void.

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

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

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

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

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

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

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

[18] 3GPP TS 37.213: "Physical layer procedures for shared spectrum channel access".

[19] 3GPP TS 23.287: "Architecture enhancements for 5G System (5GS) to support Vehicle-to-Everything (V2X) services ".

[20] 3GPP TS 23.285: "Architecture enhancements for V2X services".

[21] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Resource Control (RRC); Protocol specification".

[22] 3GPP TS 36.321: "Evolved Universal Terrestrial Radio Access (E-UTRA); Medium Access Control (MAC); Protocol specification".

[23] 3GPP TS 37.355: "Evolved Universal Terrestrial Radio Access (E-UTRA); LTE Positioning Protocol (LPP)".

[24] 3GPP TS 38.215: "NR; Physical layer measurements".

# 3 Definitions, symbols and abbreviations

## 3.1 Definitions

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

**Dormant BWP:** The dormant BWP is one of downlink BWPs configured by the network via dedicated RRC signaling. In the dormant BWP, the UE stop monitoring PDCCH on/for the SCell, but continues performing CSI measurements, Automatic Gain Control (AGC) and beam management, if configured.

**DRX group:** A group of Serving Cells that is configured by RRC and that have the same DRX Active Time.

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

**IAB-donor:** gNB that provides network access to UEs via a network of backhaul and access links.

**IAB-node:** RAN node that supports NR access links to UEs and NR backhaul links to parent nodes and child nodes.

**Listen Before Talk**: A procedure according to which transmissions are not performed if the channel is identified as being occupied, see TS 37.213 [18].

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

**NR backhaul link:** NR link used for backhauling between an IAB-node and an IAB-donor, and between IAB-nodes in case of a multi-hop backhauling.

**NR sidelink communication**: AS functionality enabling at least V2X Communication as defined in TS 23.287 [19], between two or more nearby UEs, using NR technology but not traversing any network node.

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

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

**Sidelink transmission information:** Sidelink transmission information included in a SCI for a SL-SCH transmission as specified in clause 8.3 and 8.4 of TS 38.212 [9] consists of Sidelink HARQ information including NDI, RV, Sidelink process ID, HARQ feedback enabled/disabled indicator, Sidelink identification information including cast type indicator, Source Layer-1 ID and Destination Layer-1 ID, and Sidelink other information including CSI request, a priority, a communication range requirement and Zone ID.

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

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

**V2X sidelink communication**: AS functionality enabling V2X Communication as defined in TS 23.285 [20], between nearby UEs, using E-UTRA technology but not traversing any network node.

NOTE: A timer is running once it is started, until it is stopped or until it expires; otherwise it is not running. A timer can be started if it is not running or restarted if it is running. A Timer is always started or restarted from its initial value. The duration of a timer is not updated until it is stopped or expires (e.g. due to BWP switching). When the MAC entity applies zero value for a timer, the timer shall be started and immediately expire unless explicitly stated otherwise.

## 3.2 Abbreviations

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

AP Aperiodic

BFR Beam Failure Recovery

BSR Buffer Status Report

BWP Bandwidth Part

CE Control Element

CG Cell Group

CG-SDT Configured Grant-based SDT

CI-RNTI Cancellation Indication RNTI

CSI Channel State Information

CSI-IM CSI Interference Measurement

CSI-RS CSI Reference Signal

CS-RNTI Configured Scheduling RNTI

DAPS Dual Active Protocol Stack

DCP DCI with CRC scrambled by PS-RNTI

DL-PRS DownLink-Positioning Reference Signal

IAB Integrated Access and Backhaul

INT-RNTI Interruption RNTI

LBT Listen Before Talk

LCG Logical Channel Group

LCP Logical Channel Prioritization

MCG Master Cell Group

MPE Maximum Permissible Exposure

NUL Normal Uplink

NZP CSI-RS Non-Zero Power CSI-RS

PDB Packet Delay Budget

PHR Power Headroom Report

PS-RNTI Power Saving RNTI

PTAG Primary Timing Advance Group

QCL Quasi-colocation

RA-SDT Random Access-based SDT

RS Reference Signal

SCG Secondary Cell Group

SDT Small Data Transmission

SFI-RNTI Slot Format Indication RNTI

SI System Information

SL-RNTI Sidelink RNTI

SLCS-RNTI Sidelink Configured Scheduling RNTI

SpCell Special Cell

SP Semi-Persistent

SP-CSI-RNTI Semi-Persistent CSI RNTI

SPS Semi-Persistent Scheduling

SR Scheduling Request

SS Synchronization Signals

SSB Synchronization Signal Block

STAG Secondary Timing Advance Group

SUL Supplementary Uplink

TAG Timing Advance Group

TCI Transmission Configuration Indicator

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

UCI Uplink Control Information

V2X Vehicle-to-Everything

ZP CSI-RS Zero Power CSI-RS

# 5 MAC procedures

## 5.1 Random Access procedure

Editor’s Note: Due to the agreement in the discusson for RACH partitioning, the changes to clause 5.1.1 and 5.1.1a for SDT will be captured under a common RACH CR.

### 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).

NOTE 2: If there was an ongoing Random Access procedure that is triggered by a PDCCH order while the UE receives another PDCCH order indicating the same Random Access Preamble, PRACH mask index and uplink carrier, the Random Access procedure is considered as the same Random Access procedure as the ongoing one and not initialized again.

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 PRACH occasions are shared between 2-step and 4-step RA types;

- *prach-ConfigurationPeriodScaling-IAB*: the scaling factor defined in TS 38.211 [8] and applicable to IAB-MTs, extending the periodicity of the PRACH occasions baseline configuration indicated by *prach-ConfigurationIndex*;

- *prach-ConfigurationFrameOffset-IAB*: the frame offset defined in TS 38.211 [8] and applicable to IAB-MTs, altering the ROs frame defined in the baseline configuration indicated by *prach-ConfigurationIndex*;

- *prach-ConfigurationSOffset-IAB*: the subframe/slot offset defined in TS 38.211 [8] and applicable to IAB-MTs, altering the ROs subframe or slot defined in the baseline configuration indicated by *prach-ConfigurationIndex*;

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

- *preambleReceivedTargetPower*: initial Random Access Preamble power for 4-step RA type;

- *msgA-PreambleReceivedTargetPower*: initial Random Access Preamble power for 2-step RA type;

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

- *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 RA type and 4-step RA type when both 2-step and 4-step RA type Random Access Resources are configured in the UL BWP;

- *msgA-TransMax*: The maximum number of MSGA transmissions when both 4-step and 2-step RA type 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;

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

- *ra-PreambleIndex*: Random Access Preamble;

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

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

- *msgA-CB-PreamblesPerSSB-PerSharedRO*: defines the number of contention-based Random Access Preambles for 2-step RA type mapped to each SSB when the PRACH occasions are shared between 2-step and 4-step RA types;

- *msgA-SSB-PerRACH-OccasionAndCB-PreamblesPerSSB*: defines the number of SSBs mapped to each PRACH occasion for 2-step RA type and the number of contention-based Random Access Preambles mapped to each SSB;

- *msgA-PUSCH-ResourceGroupA*: defines MSGA PUSCH resources that the UE shall use when performing MSGA transmission using Random Access Preambles group A;

- *msgA-PUSCH-ResourceGroupB*: defines MSGA PUSCH resources that the UE shall use when performing MSGA transmission using Random Access Preambles group B;

- *msgA-PUSCH-Resource-Index*: identifies the index of the PUSCH resource used for MSGA in case of contention-free Random Access with 2-step RA type;

- if *groupBconfigured* is configured, then Random Access Preambles group B is configured for 4-step RA type.

- Amongst the contention-based Random Access Preambles associated with an SSB (as defined in TS 38.213 [6]), the first *numberOfRA-PreamblesGroupA* included in *groupBconfigured* 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 RA type.

- Amongst the contention-based Random Access Preambles for 2-step RA type associated with an SSB (as defined in TS 38.213 [6]), the first *numberOfRA-PreamblesGroupA* included in *GroupB-ConfiguredTwoStepRA* 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 3: 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 RA type:

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

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

- *messagePowerOffsetGroupB*: the power offset for preamble selection included in *groupBconfigured*;

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

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

- *msgA-DeltaPreamble*: ∆*MsgA\_PUSCH* in TS 38.213 [6];

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

- *numberOfRA-PreamblesGroupA*: defines the number of Random Access Preambles in Random Access Preamble group A for each SSB included in *GroupB-ConfiguredTwoStepRA*;

- *ra-MsgA-SizeGroupA*: the threshold to determine the groups of Random Access Preambles for 2-step RA 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 RA type (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*.

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.

1> else:

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

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

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

1> if the 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 SpCell 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 RA type 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 RA type have been explicitly provided in *rach-ConfigDedicated* for the BWP selected for Random Access procedure:

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 RA type Random Access Resources and the RSRP of the downlink pathloss reference is above *msgA-RSRP-Threshold*; or

1> if the BWP selected for Random Access procedure is only configured with 2-step RA type Random Access resources (i.e. no 4-step RACH RA type 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 RA type have been explicitly provided in *rach-ConfigDedicated* for the BWP selected for Random Access procedure:

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 clause 5.1.1a;

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

2> perform the Random Access Resource selection procedure for 2-step RA type (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> apply *preambleTransMax* included in the *RACH-ConfigGenericTwoStepRA*;

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

2> if *cfra-TwoStep* is configured for the selected carrier:

3> if *msgA-TransMax* is configured in the *cfra-TwoStep*:

4> apply *msgA-TransMax* configured in the *cfra-TwoStep*.

2> else if *msgA-TransMax* is included in the *RACH-ConfigCommonTwoStepRA*:

3> apply *msgA-TransMax* included in the *RACH-ConfigCommonTwoStepRA*.

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

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

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

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

3> if *scalingFactorBI* is configured in the *ra-PrioritizationTwoStep* in *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; and

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

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

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

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

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

2> if the MAC entity is provided by upper layers with Access Identity 1 or 2; and

2> if for at least one of these Access Identities the corresponding bit in the *ra-PrioritizationForAI* 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 SpCell 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*.

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; and

2> if *ra-Prioritization* is configured in the *beamFailureRecoveryConfig*:

3> set *PREAMBLE\_POWER\_RAMPING\_STEP* to the *powerRampingStepHighPriority* included in the *ra-Prioritization* in *beamFailureRecoveryConfig*;

3> if *scalingFactorBI* is configured in *ra-Prioritization* 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; and

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

3> set *PREAMBLE\_POWER\_RAMPING\_STEP* to the *powerRampingStepHighPriority* included in the *ra-Prioritization* in *rach-ConfigDedicated*;

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

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

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

2> if the MAC entity is provided by upper layers with Access Identity 1 or 2; and

2> if for at least one of these Access Identities the corresponding bit in the *ra-PrioritizationForAI* 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-stepRA* 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\_STEP*).

### 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 SpCell 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*:

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 RA type.

3> else:

4> if Random Access Preambles group B is configured; and

4> if the transport block size of the MSGA payload configured in the *rach-ConfigDedicated* corresponds to the transport block size of the MSGA payload associated with Random Access Preambles group B:

5> select the Random Access Preambles group B.

4> else:

5> select the Random Access Preambles group A.

2> else if Msg3 buffer is empty:

3> if Random Access Preambles group B is configured:

4> if the potential Msg3 size (UL data available for transmission plus MAC subheader(s) 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.

Editor’s Note: When SDT is initiated, if RA-SDT is interpreted as initiated for CCCH logical channel, the condition for pathloss is always ignored (i.e., the condition in the first bullet 4>); Or, if it is interpreted as not initiated for CCCH logical channel, the condition in second bullet 4> is not needed. FFS which interpretation it is.

3> else:

4> select the Random Access Preambles group A.

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

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

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

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

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

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

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

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

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

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

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

2> else:

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

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

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

NOTE 2: Void.

### 5.1.2a Random Access Resource selection for 2-step RA type

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

1> if the contention-free 2-step RA type 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 (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 contention-free Random Access Resources for 2-step RA type have not been configured and if Random Access Preambles group has not yet been selected during the current Random Access procedure:

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

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

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.Editor’s Note: When SDT is initiated, if RA-SDT is interpreted as initiated for CCCH logical channel, the condition for pathloss is always ignored (i.e., the condition in the first bullet 4>); Or, if it is interpreted as not initiated for CCCH logical channel, the condition in second bullet 4> is not needed. FFS which interpretation of CCCH it is. 2> else if contention-free Random Access Resources for 2-step RA type have been configured and if Random Access Preambles group has not yet been selected during the current Random Access procedure:

3> if Random Access Preambles group B for 2-step RA type is configured; and

3> if the transport block size of the MSGA payload configured in the *rach-ConfigDedicated* corresponds to the transport block size of the MSGA payload associated with Random Access Preambles group B:

4> select the Random Access Preambles group B.

3> else:

4> select the Random Access Preambles group A.

2> else (i.e. Random Access preambles group has been selected during the current Random Access procedure):

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

2> select a PUSCH occasion from the PUSCH occasions configured in *msgA-CFRA-PUSCH* corresponding to the PRACH slot of the selected PRACH occasion, according to *msgA-PUSCH-resource-Index* corresponding to the selected SSB;

2> determine the UL grant and the associated HARQ information for the MSGA payload in the selected PUSCH occasion;

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

1> else:

2> select a PUSCH occasion corresponding to the selected preamble and PRACH occasion according to clause 8.1A of TS 38.213 [6];

2> determine the UL grant for the MSGA payload according to the PUSCH configuration associated with the selected Random Access Preambles group and determine the associated HARQ information;

2> if the selected preamble and PRACH occasion is mapped to a valid PUSCH occasion as specified in clause 8.1A of TS 38.213 [6]:

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

1> perform the MSGA transmission procedure (see clause 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 LBT failure indication was not received from lower layers for the last 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 + 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*.

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

2> if *lbt-FailureRecoveryConfig* is configured:

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

2> else:

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

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

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

5> indicate a Random Access problem to upper layers;

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

6> consider the Random Access procedure unsuccessfully completed.

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

5> consider the Random Access procedure unsuccessfully completed.3> if the Random Access procedure is not completed:

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

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 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 msgA-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> if the Random Access procedure was initiated for SpCell beam failure recovery and *spCell-BFR-CBRA* with value *true* is configured:

3> indicate to the Multiplexing and assembly entity to include a BFR MAC CE or a Truncated BFR MAC CE in the subsequent uplink transmission.

2> obtain the MAC PDU to transmit from the Multiplexing and assembly entity according to the HARQ information determined for the MSGA payload (see clause 5.1.2a) 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 of MSGA (if the selected preamble and PRACH occasion is mapped to a valid PUSCH occasion), using the corresponding RA-RNTI, MSGB-RNTI, *PREAMBLE\_INDEX*, *PREAMBLE\_RECEIVED\_TARGET\_POWER*, *msgA-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> if *lbt-FailureRecoveryConfig* is configured:

3> perform the Random Access Resource selection procedure for 2-step RA type (see clause 5.1.2a).

2> else:

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

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

4> indicate a Random Access problem to upper layers;

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

5> consider this Random Access procedure unsuccessfully completed.3> if the Random Access procedure is not completed:

4> if *msgA-TransMax* is applied (see clause 5.1.1a) 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 clause 5.1.1a;

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

5> discard explicitly signalled contention-free 2-step RA type Random Access Resources, if any;

5> perform the Random Access Resource selection procedure as specified in clause 5.1.2.4> else:

5> perform the Random Access Resource selection procedure for 2-step RA type (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 clause 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 valid (as specified in TS 38.213 [6]) downlink assignment has been received on the PDCCH for the RA-RNTI and the received TB is successfully decoded:

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

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

2> else:

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

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

3> consider this Random Access Response reception successful.

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

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

4> consider this Random Access procedure successfully completed;

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

3> else:

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

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

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

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

6> ignore the received UL grant.

5> else:

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

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

5> consider the Random Access procedure successfully completed.

4> else:

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

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

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

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

6> if the Random Access procedure was initiated for SpCell beam failure recovery and *spCell-BFR-CBRA* with value *true* is configured:

7> indicate to the Multiplexing and assembly entity to include a BFR MAC CE or a Truncated BFR 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.

Editor’s Note: FFS the UE procedure when the counter for preamble transmission exceeds the *preambleTransMax* for 4-step and also 2-step RA-SDT

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

4> delay the subsequent Random Access transmission until the Random Access Procedure is triggered by a PDCCH order with the same *ra-PreambleIndex*, *ra-ssb-OccasionMaskIndex*, and UL/SUL indicator TS 38.212 [9].

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.

Editor’s Note: FFS fallback from 4-stepRA-SDT to non-SDT

### 5.1.4a MSGB reception and contention resolution for 2-step RA type

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 PDCCH occasion as specified in TS 38.213 [6], clause 8.2A;

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.

Editor’s Note: FFS Whether it is OK for the legacy UE transmitting 2-step RACH to receive msgB intended for the UEs transmitting msgA for SDT when RO is shared between 2-step RA and 2-step RA-SDT.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 SpCell 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:

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 valid (as specified in TS 38.213 [6]) downlink assignment has been received on the PDCCH for the MSGB-RNTI 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 clause 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 *msgA-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;

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

5> else:

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

6> if the Msg3 buffer is empty:

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

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

NOTE: If within a 2-step RA type 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 clause 5.2);

6> indicate the *msgA-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*, *ChannelAccess-CPext* (if indicated), 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 applied (see clause 5.1.1a) 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 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 RA type Random Access Resources, if any;

4> perform the Random Access Resource selection procedure as specified in clause 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 RA type Random Access (see clause 5.1.2a).

4> else:

5> perform the Random Access Resource selection procedure for 2-step RA type Random Access (see clause 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.

Editor’s Note: FFS fallback from 2-stepRA-SDT to non-SDT

### 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 SpCell 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 (i.e. the *RA\_TYPE* is set to *2-stepRA*):

4> if *msgA-TransMax* is applied (see clause 5.1.1a) 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 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 RA type Random Access Resources, if any;

5> perform the Random Access Resource selection as specified in clause 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 RA type as specified in clause 5.1.2a.

5> else:

6> perform the Random Access Resource selection for 2-step RA type 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 any explicitly signalled contention-free Random Access Resources for 2-step RA type and 4-step RA type except the 4-step RA type 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.

Upon successful completion of the Random Access procedure initiated for DAPS handover, the target MAC entity shall:

1> indicate the successful completion of the Random Access procedure to the upper layers.

## 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;

- *cg-SDT-TimeAlignmentTimer* which controls how long the MAC entity considers the uplink transmission for CG-SDT 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 MAC CE is received and *cg-SDT-TimeAlignmentTimer* is running:2> restart the *cg-SDT-TimeAlignmentTimer*.

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 Command is 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 the configuration for *cg-SDT-TimeAlignmentTimer* is received:

2> start or restart the *cg-SDT-TimeAlignmentTimer*.

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.

1> when the *cg-SDT-TimeAlignmentTimer* expires:

2> notify RRC to release configured grant type 1 configuration(s) for SDT.

Editor’s Note: FFS UE procedure for PUCCH, HARQ buffers, NTA, configured uplink grants when *cg-SDT-TimeAlignmentTimer* expires.

Editor’s Note: FFS the interplay between the legacy TAT and cg-SDT-TAT when legacy RACH is initiated

Editor’s Note: FFS how the TAC is delivered to the UE

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 and except CG-SDT when the *cg-SDT-TimeAlignmentTimer* is running. Furthermore, when the *timeAlignmentTimer* associated with the PTAG is not running and when the *cg-SDT-TimeAlignmentTimer* 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.

## 5.3 DL-SCH data transfer

### 5.3.1 DL Assignment reception

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

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

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

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

3> consider the NDI to have been toggled.

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

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

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

1> else if a downlink assignment for this PDCCH occasion has been received for this Serving Cell on the PDCCH for the MAC entity's CS-RNTI:

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

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

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

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

3> if PDCCH contents indicate SPS deactivation:

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

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

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

3> else if PDCCH content indicates SPS activation:

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

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

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

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

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

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

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

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

For configured downlink assignments without *harq-ProcID-Offset*, the HARQ Process ID associated with the slot where the DL transmission starts is derived from the following equation:

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

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

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

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

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

NOTE 1: In case of unaligned SFN across carriers in a cell group, the SFN of the concerned Serving Cell is used to calculate the HARQ Process ID used for configured downlink assignments.

NOTE 2: CURRENT\_slot refers to the slot index of the first transmission occasion of a bundle of configured downlink assignment.

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

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

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

### 5.3.2 HARQ operation

#### 5.3.2.1 HARQ Entity

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

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

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

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

The MAC entity shall:

1> if a downlink assignment has been indicated:

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

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

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

#### 5.3.2.2 HARQ process

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

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

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

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

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

2> consider this transmission to be a new transmission.

1> else:

2> consider this transmission to be a retransmission.

The MAC entity then shall:

1> if this is a new transmission:

2> attempt to decode the received data.

1> else if this is a retransmission:

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

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

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

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

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

3> deliver the decoded MAC PDU to upper layers.

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

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

1> else:

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

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

1> if the HARQ process is 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, and

1> if the transmission for the HARQ process is initiated for CG-SDT and *cg-SDT-TimeAlignmentTimer* 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 clause 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. An uplink grant addressed to CS-RNTI with NDI = 0 is considered as a configured uplink grant. An uplink grant addressed to CS-RNTI with NDI = 1 is considered as a dynamic uplink grant.

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* or a running *cg-SDT-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 corresponding HARQ process, if configured.

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

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

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

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

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

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

3> stop the *cg-RetransmissionTimer* for the corresponding HARQ process, if running;

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

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

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

4> trigger configured uplink grant confirmation.

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

4> trigger configured uplink grant confirmation;

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

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

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

4> stop the *cg-RetransmissionTimer* for the 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 MAC entity is configured with *lch-basedPrioritization*, and the PUSCH duration of the configured uplink grant does not overlap with the PUSCH duration of an uplink grant received in a Random Access Response or with the PUSCH duration of an uplink grant addressed to Temporary C-RNTI or the PUSCH duration of a MSGA payload for this Serving Cell; or

1> if the MAC entity is not configured with *lch-basedPrioritization*, and 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 or the PUSCH duration of a MSGA payload for this Serving Cell:

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

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

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

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

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

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

4> consider the NDI bit to have been toggled;

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

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

4> deliver the configured uplink grant and the associated HARQ information to the HARQ entity.For configured uplink grants neither configured with *harq-ProcID-Offset2* nor with *cg-RetransmissionTimer*, the HARQ Process ID associated with the first symbol of a UL transmission is derived from the following equation:

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

For configured uplink grants with *harq-ProcID-Offset2*, 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* + *harq-ProcID-Offset2*

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

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

Editor’s NOTE: HARQ PID calculation for Small Data Transmission with configured grant type1.

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

NOTE 2: A HARQ process is configured for a configured uplink grant where neither *harq-ProcID-Offset* nor *harq-ProcID-Offset2* is configured, if the configured uplink grant is activated and the associated HARQ process ID is less than *nrofHARQ-Processes*. A HARQ process is configured for a configured uplink grant where *harq-ProcID-Offset2* is configured, if the configured uplink grant is activated and the associated HARQ process ID is greater than or equal to *harq-ProcID-Offset2* and less than sum of *harq-ProcID-Offset2* and *nrofHARQ-Processes* for the configured grant configuration.

NOTE 3: If the MAC entity receives a grant in a Random Access Response (i.e. MAC RAR or fallbackRAR) or determines a grant as specified in clause 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.

NOTE 4: In case of unaligned SFN across carriers in a cell group, the SFN of the concerned Serving Cell is used to calculate the HARQ Process ID used for configured uplink grants.

NOTE 5: If *cg-RetransmissionTimer* is not configured, a HARQ process is not shared between different configured grant configurations in the same BWP.

For the MAC entity configured with *lch-basedPrioritization*, priority of an uplink grant is determined by the highest priority among priorities of the logical channels that are multiplexed (i.e. the MAC PDU to transmit is already stored in the HARQ buffer) or have data available that can be multiplexed (i.e. the MAC PDU to transmit is not stored in the HARQ buffer) in the MAC PDU, according to the mapping restrictions as described in clause 5.4.3.1.2. The priority of an uplink grant for which no data for logical channels is multiplexed or can be multiplexed in the MAC PDU is lower than either the priority of an uplink grant for which data for any logical channels is multiplexed or can be multiplexed in the MAC PDU or the priority of the logical channel triggering an SR.

For the MAC entity configured with *lch-basedPrioritization*, if the corresponding PUSCH transmission of a configured uplink grant is cancelled by CI-RNTI as specified in clause 11.2A of TS 38.213 [6] or cancelled by a high PHY-priority PUCCH transmission as specified in clause 9 of TS 38.213 [6], this configured uplink grant is considered as a de-prioritized uplink grant. If this deprioritized uplink grant is configured with *autonomousTx*, the *configuredGrantTimer* for the corresponding HARQ process of this de-prioritized uplink grant shall be stopped if it is running.

When the MAC entity is configured with *lch-basedPrioritization*, for each uplink grant whose associated PUSCH can be transmitted by lower layers, the MAC entity shall:

1> if this uplink grant is received in a Random Access Response (i.e. in a MAC RAR or fallback RAR), or addressed to Temporary C-RNTI, or is determined as specified in clause 5.1.2a for the transmission of the MSGA payload:

2> consider this uplink grant as a prioritized uplink grant.

1> else if this uplink grant is addressed to CS-RNTI with NDI = 1 or C-RNTI:

2> if there is no overlapping PUSCH duration of a configured uplink grant which was not already de-prioritized, in the same BWP whose priority is higher than the priority of the uplink grant; and

2> if there is no overlapping PUCCH resource with an SR transmission which was not already de-prioritized and the priority of the logical channel that triggered the SR is higher than the priority of the uplink grant:

3> consider this uplink grant as a prioritized uplink grant;

3> consider the other overlapping uplink grant(s), if any, as a de-prioritized uplink grant(s);

3> consider the other overlapping SR transmission(s), if any, as a de-prioritized SR transmission(s).

1> else if this uplink grant is a configured uplink grant:

2> if there is no overlapping PUSCH duration of another configured uplink grant which was not already de-prioritized, in the same BWP, whose priority is higher than the priority of the uplink grant; and

2> if there is no overlapping PUSCH duration of an uplink grant addressed to CS-RNTI with NDI = 1 or C-RNTI which was not already de-prioritized, in the same BWP, whose priority is higher than or equal to the priority of the uplink grant; and

2> if there is no overlapping PUCCH resource with an SR transmission which was not already de-prioritized and the priority of the logical channel that triggered the SR is higher than the priority of the uplink grant:

3> consider this uplink grant as a prioritized uplink grant;

3> consider the other overlapping uplink grant(s), if any, as a de-prioritized uplink grant(s);

3> if the de-prioritized uplink grant(s) is a configured uplink grant configured with *autonomousTx* whose PUSCH has already started:

4> stop the *configuredGrantTimer* for the corresponding HARQ process of the de-prioritized uplink grant(s).

3> consider the other overlapping SR transmission(s), if any, as a de-prioritized SR transmission(s).

NOTE 6: If the MAC entity is configured with *lch-basedPrioritization* and if there is overlapping PUSCH duration of at least two configured uplink grants whose priorities are equal, the prioritized uplink grant is determined by UE implementation.

NOTE 7: If the MAC entity is not configured with *lch-basedPrioritization* and if there is overlapping PUSCH duration of at least two configured uplink grants, it is up to UE implementation to choose one of the configured uplink grants.

### 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.

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

The maximum number of transmissions of a TB within a bundle of the dynamic grant or configured grant is given by *REPETITION\_NUMBER* as follows:

- For a dynamic grant, *REPETITION\_NUMBER* is set to a value provided by lower layers, as specified in clause 6.1.2.1 of TS 38.214 [7];

- For a configured grant, *REPETITION\_NUMBER* is set to a value provided by lower layers, as specified in clause 6.1.2.3 of TS 38.214 [7].

If *REPETITION\_NUMBER* > 1, after the first transmission within a bundle, at most *REPETITION\_NUMBER* – 1 HARQ retransmissions follow within the 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 *REPETITION\_NUMBER* for a dynamic grant or configured uplink grant unless they are terminated as specified in clause 6.1 of TS 38.214 [7]. Each transmission within a bundle is a separate uplink grant delivered to the HARQ entity.

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

For each uplink grant, the HARQ entity shall:

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

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

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

2> if the uplink grant was received in a Random Access Response (i.e. in a MAC RAR or a fallback RAR); or

2> if the uplink grant was determined as specified in clause 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 clause 5.1.2a for the transmission of the MSGA payload was selected; or

3> if there is a MAC PDU in the MSGA buffer and the uplink grant was received in a fallbackRAR and this fallbackRAR successfully completed the Random Access procedure:

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 if this uplink grant is a configured grant configured with *autonomousTx*; and

3> if the previous configured uplink grant, in the BWP, for this HARQ process was not prioritized; and

3> if a MAC PDU had already been obtained for this HARQ process; and

3> if the uplink grant size matches with size of the obtained MAC PDU; and

3> if none of PUSCH transmission(s) of the obtained MAC PDU has been completely performed:

4> consider the MAC PDU has been obtained.

3> else if the MAC entity is not configured with *lch-basedPrioritization*; or

3> if this uplink grant is a prioritized uplink grant:

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> if the uplink grant is not a configured grant configured with *autonomousTx*; or

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

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

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

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

6> start or restart the *configuredGrantTimer*, if configured, for the corresponding HARQ process when the transmission is performed if LBT failure indication is not received from lower layers;

6> start or restart the *cg-RetransmissionTimer*, if configured, for the corresponding HARQ process when the transmission is performed if LBT failure indication is not received from lower layers.

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

6> start or restart the *configuredGrantTimer*, if configured, for the corresponding HARQ process when the transmission is performed if LBT failure indication is not received from lower layers.

5> if *cg-RetransmissionTimer* is configured for the identified HARQ process; and

5> if the transmission is performed and LBT failure indication is received from lower layers:

6> consider the identified HARQ process as pending.

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 Random Access Response (i.e. MAC RAR or fallbackRAR) or an uplink grant determined as specified in clause 5.1.2a for MSGA payload for this Serving Cell; or:

3> if the MAC entity is configured with *lch-basedPrioritization* and this uplink grant is not a prioritized uplink grant:

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 if LBT failure indication is not received from lower layers.

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

5> if the identified HARQ process is pending:

6> start or restart the *configuredGrantTimer*, if configured, for the corresponding HARQ process when the transmission is performed if LBT failure indication is not received from lower layers;

5> start or restart the *cg-RetransmissionTimer*, if configured, for the corresponding HARQ process when the transmission is performed if LBT failure indication is not received from lower layers.

4> if the identified HARQ process is pending and the transmission is performed and LBT failure indication is not received from lower layers:

5> consider the identified HARQ process as not pending.

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.

When *configuredGrantTimer* or *cg-RetransmissionTimer* is started or restarted by a PUSCH transmission, it shall be started at the beginning of the first symbol of the PUSCH transmission.

#### 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 PDCCH or indicated in the Random Access Response (i.e. MAC RAR or fallbackRAR), or signalled in RRC or determined as specified in clause 5.1.2a for MSGA payload. Retransmissions are performed on the resource and, if provided, with the MCS indicated on PDCCH, or on the same resource and with the same MCS as was used for last made transmission attempt within a bundle, or on stored configured uplink grant resources and stored MCS when *cg-RetransmissionTimer* is configured. If *cg-RetransmissionTimer* is configured, retransmissions with the same HARQ process may be performed on any configured grant configuration if the configured grant configurations have the same TBS.

When *cg-RetransmissionTimer* is configured and the HARQ entity obtains a MAC PDU to transmit and LBT failure indication is received from lower layer, the corresponding HARQ process is considered to be pending. For a configured uplink grant, configured with *cg-RetransmissionTimer*, each associated HARQ process is considered as not pending when:

- a transmission is performed on that HARQ process and LBT failure indication is not received from lower layers; or

- the configured uplink grant is initialised and this HARQ process is not associated with another active configured uplink grant; or

- the HARQ buffer for this HARQ process is flushed.

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> if there are neither transmission of NR sidelink communication nor transmission of V2X sidelink communication at the time of the transmission; or

2> if the transmission of the MAC PDU is prioritized over sidelink transmission or can be simultaneously performed with sidelink transmission:

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

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

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

1> if acknowledgement is indicated:

2> stop the *configuredGrantTimer*, if running.

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

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

The transmission of the MAC PDU is prioritized over sidelink transmission or can be performed simultaneously with sidelink transmission if one of the following conditions is met:

- if there are both a sidelink grant for transmission of NR sidelink communication and a configured grant for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and neither the transmission of NR sidelink communication is prioritized as described in clause 5.22.1.3.1a nor the transmissions of V2X sidelink communication is prioritized as described in clause 5.14.1.2.2 of TS 36.321 [22]; or

- if there are both a sidelink grant for transmission of NR sidelink communication and a configured grant for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and the MAC PDU includes any MAC CE prioritized as described in clause 5.4.3.1.3 or the value of the highest priority of the logical channel(s) in the MAC PDU is lower than *ul-PrioritizationThres* if *ul-PrioritizationThres* is configured; or

- if there are both a sidelink grant for transmission of NR sidelink communication and a configured grant for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and the MAC entity is able to perform this UL transmission simultaneously with the transmission of NR sidelink communication and/or the transmissions of V2X sidelink communication; or

- if there is only configured grant(s) for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and either none of the transmissions of V2X sidelink communication is prioritized as described in clause 5.14.1.2.2 of TS 36.321 [22] or the MAC entity is able to perform this UL transmission simultaneously with the transmissions of V2X sidelink communication; or

- if there is only a sidelink grant for transmission of NR sidelink communication at the time of the transmission, and if the MAC PDU includes any MAC CE prioritized as described in clause 5.4.3.1.3, or the transmission of NR sidelink communication is not prioritized as described in clause 5.22.1.3.1a, or the value of the highest priority of the logical channel(s) in the MAC PDU is lower than *ul-PrioritizationThres* if *ul-PrioritizationThres* is configured, or there is a sidelink grant for transmission of NR sidelink communication at the time of the transmission and the MAC entity is able to perform this UL transmission simultaneously with the transmission of NR sidelink communication; or

- if there are both a sidelink grant for transmission of NR sidelink communication and a configured grant for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and either only the transmission of NR sidelink communication is prioritized as described in clause 5.22.1.3.1a or only the transmissions of V2X sidelink communication is prioritized as described in clause 5.14.1.2.2 of TS 36.321 [22] and the MAC entity is able to perform this UL transmission simultaneously with the prioritized transmission of NR sidelink communication or V2X sidelink communication:

NOTE 1: Among the UL transmissions where the MAC entity is able to perform the transmission of NR sidelink communication prioritized simultaneously, if there are more than one UL transmission which the MAC entity is not able to perform simultaneously, it is up to UE implementation whether this UL transmission is performed.

NOTE 2: Among the UL transmissions that the MAC entity is able to perform simultaneously with all transmissions of V2X sidelink communication prioritized, if there are more than one UL transmission which the MAC entity is not able to perform simultaneously, it is up to UE implementation whether this UL transmission is performed.

NOTE 3: Among the UL transmissions where the MAC entity is able to perform the transmission of NR sidelink communication prioritized simultaneously with all transmissions of V2X sidelink communication prioritized, if there are more than one UL transmission which the MAC entity is not able to perform simultaneously, it is up to UE implementation whether this UL transmission is performed.

NOTE 4: If there is a configured grant for transmission of V2X sidelink communication on SL-SCH as described in clause 5.14.1.2.2 of TS 36.321 [22] at the time of the transmission, and the MAC entity is not able to perform this UL transmission simultaneously with the transmission of V2X sidelink communication, and prioritization-related information is not available prior to the time of the transmission due to processing time restriction, it is up to UE implementation whether this UL transmission is performed.

### 5.4.4 Scheduling Request

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

The MAC entity may be configured with zero, one, or more SR configurations. An SR configuration consists of a set of PUCCH resources for SR across different BWPs and cells. For a logical channel or for SCell beam failure recovery (see clause 5.17) and for consistent LBT failure recovery (see clause 5.21), at most one PUCCH resource for SR is configured per BWP. For a logical channel serving a radio bearer configured with SDT , PUCCH resource for SR is not used during SDT.

Each SR configuration corresponds to one or more logical channels and/or to SCell beam failure recovery and/or to consistent LBT failure recovery. Each logical channel, SCell beam failure recovery, and consistent LBT failure recovery, may be mapped to zero or one SR configuration, which is configured by RRC. The SR configuration of the logical channel that triggered a BSR (clause 5.4.5) or the SCell beam failure recovery or the consistent LBT failure recovery (clause 5.21) (if such a configuration exists) is considered as corresponding SR configuration for the triggered SR. Any SR configuration may be used for an SR triggered by Pre-emptive BSR (clause 5.4.7).

Editor’s Note: How to handle the connected mode configuration in the RRC\_INACTIVE UE context e.g., logical channel configuration.

RRC configures the following parameters for the scheduling request procedure:

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

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

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

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

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

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

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

The MAC entity shall for each pending SR not triggered according to the BSR procedure (clause 5.4.5) for a Serving Cell:

1> if this SR was triggered by Pre-emptive BSR procedure (see clause 5.4.7) prior to the MAC PDU assembly and a MAC PDU containing the relevant Pre-emptive BSR MAC CE is transmitted; or

1> if this SR was triggered by beam failure recovery (see clause 5.17) of an SCell and a MAC PDU is transmitted and this PDU includes a BFR MAC CE or a Truncated BFR MAC CE which contains beam failure recovery information for this SCell; or

1> if this SR was triggered by beam failure recovery (see clause 5.17) of an SCell and this SCell is deactivated (see clause 5.9); or

1> if this SR was triggered by consistent LBT failure recovery (see clause 5.21) of an SCell and a MAC PDU is transmitted and the MAC PDU includes an LBT failure MAC CE that indicates consistent LBT failure for this SCell; or

1> if this SR was triggered by consistent LBT failure recovery (see clause 5.21) of an SCell and all the triggered consistent LBT failure(s) for this SCell are cancelled:

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

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

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

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

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

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

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

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

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

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

3> if the MAC entity is able to perform this SR transmission simultaneously with the transmission of the SL-SCH resource; or

3> if the MAC entity is configured with *lch-basedPrioritization*, and the PUCCH resource for the SR transmission occasion does not overlap with the PUSCH duration of an uplink grant received in a Random Access Response or with the PUSCH duration of an uplink grant addressed to Temporary C-RNTI or with the PUSCH duration of a MSGA payload, and the PUCCH resource for the SR transmission occasion for the pending SR triggered as specified in clause 5.4.5 overlaps with any other UL-SCH resource(s), and the physical layer can signal the SR on one valid PUCCH resource for SR, and the priority of the logical channel that triggered SR is higher than the priority of the uplink grant(s) for any UL-SCH resource(s) where the uplink grant was not already de-prioritized, and the priority of the uplink grant is determined as specified in clause 5.4.1; or

3> if both *sl-PrioritizationThres* and *ul-PrioritizationThres* are configured and the PUCCH resource for the SR transmission occasion for the pending SR triggered as specified in clause 5.22.1.5 overlaps with any UL-SCH resource(s) carrying a MAC PDU, and the value of the priority of the triggered SR determined as specified in clause 5.22.1.5 is lower than *sl-PrioritizationThres* and the value of the highest priority of the logical channel(s) in the MAC PDU is higher than or eqaul to *ul-PrioritizationThres* and the MAC PDU is not prioritized by upper layer according to TS 23.287 [19]; or

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

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

4> consider the SR transmission as a prioritized SR transmission.

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

4> if the de-prioritized uplink grant(s) is a configured uplink grant configured with *autonomousTx* whose PUSCH has already started:

5> stop the *configuredGrantTimer* for the corresponding HARQ process of the de-prioritized uplink grant(s).

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

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

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

6> increment *SR\_COUNTER* by 1;

6> start the *sr-ProhibitTimer*.

5> else if *lbt-FailureRecoveryConfig* is not configured:

6> increment *SR\_COUNTER* by 1.

4> else:

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

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

5> clear any configured downlink assignments and uplink grants;

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

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

3> else:

4> consider the SR transmission as a de-prioritized SR transmission.

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

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

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

NOTE 4: For a UE operating in a semi-static channel access mode as described in TS 37.213 [18], PUCCH resources overlapping with the set of consecutive symbols where the UE does not transmit before the start of a next channel occupancy time are not considered valid.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR for BSR, which was initiated by the MAC entity prior to the MAC PDU assembly and which has no valid PUCCH resources configured, if:

- a 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 clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes a BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly; or

- the UL grant(s) can accommodate all pending data available for transmission.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR for BFR of an SCell, which has no valid PUCCH resources configured, if:

- a 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 clause 5.1.2a for the transmission of the MSGA payload, and this PDU contains a BFR MAC CE or a Truncated BFR MAC CE which includes beam failure recovery information of that SCell; or

- the SCell is deactivated (as specified in clause 5.9) and all triggered BFRs for SCells are cancelled.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR for consistent LBT failure recovery, which has no valid PUCCH resources configured, if:

- a 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 clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes an LBT failure MAC CE that indicates consistent LBT failure for all the SCells that triggered consistent LBT failure; or

- all the SCells that triggered consistent LBT failure recovery are deactivated (see clause 5.9).

### 5.4.5 Buffer Status Reporting

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

RRC configures the following parameters to control the BSR:

- *periodicBSR-Timer*;

- *retxBSR-Timer*;

- *logicalChannelSR-DelayTimerApplied*;

- *logicalChannelSR-DelayTimer*;

- *logicalChannelSR-Mask*;

- *logicalChannelGroup*.

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

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

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

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

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

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

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

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

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

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

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

For Regular BSR, the MAC entity shall:

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

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

1> else:

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

For Regular and Periodic BSR, the MAC entity shall:

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

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

1> else:

2> report Short BSR.

For Padding BSR, the MAC entity shall:

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

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

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

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

3> else:

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

2> else:

3> report Short BSR.

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

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

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

The MAC entity shall:

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

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

3> instruct the Multiplexing and Assembly procedure to generate the BSR MAC CE(s) as defined in clause 6.1.3.1;

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

3> start or restart *retxBSR-Timer*.

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

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

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

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

4> trigger a Scheduling Request.

NOTE 2: UL-SCH resources are considered available if the MAC entity has been configured with, receives, or determines an uplink grant. If the MAC entity has determined at a given point in time that UL-SCH resources are available, this need not imply that UL-SCH resources are available for use at that point in time.

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

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

All triggered BSRs may be cancelled when the UL grant(s) can accommodate all pending data available for transmission but is not sufficient to additionally accommodate the BSR MAC CE plus its subheader. All BSRs triggered prior to MAC PDU assembly shall be cancelled when a MAC PDU is transmitted and this PDU includes a Long or Short BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR prior to the MAC PDU assembly.

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

NOTE 4: Void

NOTE 5: If a HARQ process is configured with *cg-RetransmissionTimer* and if the BSR is already included in a MAC PDU for transmission by this HARQ process, but not yet transmitted by lower layers, it is up to UE implementation how to handle the BSR content.

### 5.4.6 Power Headroom Reporting

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

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

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

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

- MPE P-MPR: the power backoff to meet the MPE FR2 requirements for a Serving Cell operating on FR2.

RRC controls Power Headroom reporting by configuring the following parameters:

- *phr-PeriodicTimer*;

- *phr-ProhibitTimer*;

- *phr-Tx-PowerFactorChange*;

- *phr-Type2OtherCell*;

- *phr-ModeOtherCG*;

- *multiplePHR*;

- *mpe-Reporting-FR2*;

- *mpe-ProhibitTimer*;

- *mpe-Threshold*.

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

- *phr-ProhibitTimer* expires or has expired and the path loss has changed more than *phr-Tx-PowerFactorChange* dB for at least one activated Serving Cell of any MAC entity of which the active DL BWP is not dormant BWP which is used as a pathloss reference since the last transmission of a PHR in this MAC entity when the MAC entity has UL resources for new transmission;

NOTE 1: The path loss variation for one cell assessed above is between the pathloss measured at present time on the current pathloss reference and the pathloss measured at the transmission time of the last transmission of PHR on the pathloss reference in use at that time, irrespective of whether the pathloss reference has changed in between. The current pathloss reference for this purpose does not include any pathloss reference configured using pathlossReferenceRS-Pos in TS 38.331 [5].

- *phr-PeriodicTimer* expires;

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

- activation of an SCell of any MAC entity with configured uplink of which *firstActiveDownlinkBWP-Id* is not set to dormant BWP;

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

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

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

- Upon switching of activated BWP from dormant BWP to non-dormant DL BWP of an SCell of any MAC entity with configured uplink;

- if *mpe-Reporting-FR2* is configured, and *mpe-ProhibitTimer* is not running:

- the measured P-MPR applied to meet FR2 MPE requirements as specified in TS 38.101-2 [15] is equal to or larger than *mpe-Threshold* for at least one activated FR2 Serving Cell since the last transmission of a PHR in this MAC entity; or

- the measured P-MPR applied to meet FR2 MPE requirements as specified in TS 38.101-2 [15] has changed more than *phr-Tx-PowerFactorChange* dB for at least one activated FR2 Serving Cell since the last transmission of a PHR due to the measured P-MPR applied to meet MPE requirements being equal to or larger than *mpe-Threshold* in this MAC entity.

 in which case the PHR is referred below to as 'MPE P-MPR report'.

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

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

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

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

2> start *phr-PeriodicTimer*.

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

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

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

3> for each activated Serving Cell with configured uplink associated with any MAC entity of which the active DL BWP is not dormant BWP:

4> obtain the value of the Type 1 or Type 3 power headroom for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6] for NR Serving Cell and clause 5.1.1.2 of TS 36.213 [17] for E-UTRA Serving Cell;

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

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

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

5> if *mpe-Reporting-FR2* is configured and this Serving Cell operates on FR2 and this Serving Cell is associated to this MAC entity:

6> obtain the value for the corresponding MPE field from the physical layer.

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

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

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

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

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

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

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

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

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

3> if *mpe-Reporting-FR2* is configured and this Serving Cell operates on FR2:

4> obtain the value for the corresponding MPE field from the physical layer.

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

2> if this PHR report is an MPE P-MPR report:

3> start or restart the *mpe-ProhibitTimer*;

3> cancel triggered MPE P-MPR reporting for Serving Cells included in the PHR MAC CE.

2> start or restart *phr-PeriodicTimer*;

2> start or restart *phr-ProhibitTimer*;

2> cancel all triggered PHR(s).

All triggered PHRs shall be cancelled when there is an ongoing SDT procedure as in clause 5.x and the UL grant(s) for SDT can accommodate all pending data available for transmission but is not sufficient to additionally accommodate the PHR MAC CE plus its subheader.

## 5.8 Transmission and reception without dynamic scheduling

### 5.8.2 Uplink

There are two types of transmission without dynamic grant:

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

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

Type 1 and Type 2 are configured by RRC for a Serving Cell per BWP. Multiple configurations can be active simultaneously in the same BWP. For Type 2, activation and deactivation are independent among the Serving Cells. For the same BWP, the MAC entity can be configured with both Type 1 and Type 2.

Only Type 1 can be configured for SDT. CG-SDT can be configured on either initial BWP or separate SDT BWP.

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

- *cg-SDT-RSRP-ThresholdSSB*: an RSRP threshold configured for SSB selection for CG-SDT;

- *cg-SDT-RSRP-ChangeThreshold*: RSRP threshold for the increase/decrease of RSRP for time alignment validation;

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

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

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

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

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

- *harq-ProcID-Offset*: offset of HARQ process for configured grant for operation with shared spectrum channel access;

- *harq-ProcID-Offset2*: offset of HARQ process for configured grant;

- *timeReferenceSFN*: SFN used for determination of the offset of a resource in time domain. The UE uses the closest SFN with the indicated number preceding the reception of the configured grant configuration.RRC configures the following parameters when the configured grant Type 2 is configured:

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

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

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

- *harq-ProcID-Offset*: offset of HARQ process for configured grant for operation with shared spectrum channel access;

- *harq-ProcID-Offset2*: offset of HARQ process for configured grant.

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

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

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

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

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

When CG-SDT is triggered as in clause 5.x, the MAC entity shall:

1> if at least one SSB with SS-RSRP above *cg-SDT-RSRP-ThresholdSSB* amongst the associated SSBs is available; and

1> if the configured grant type 1 resource is valid according to clause 5.8.2.x:

2> select an SSB with SS-RSRP above *rsrp-ThresholdSSB*;

2> select the configured grant type 1 configuration for CG-SDT on BWP of the selected UL carrier associated with the selected SSB;

2> select the CG occasioncorresponding to the selected SSB and the selected configured grant type 1 configuration for CG-SDT;

2> indicate the SSB index to the lower layer.

1> else:

2> initiate Random Access procedure in clause 5.1.

Editor’s Note: FFS whether CG-SDT can fallback to RA-SDT if none of the SSB’s RSRP is above the threshold for subsequent CG transmission.

Editor’s Note: We think it is more suitable to indicate to PHY the selected SSB index such that the lower layer can use this index to select DMRS port and sequence index. Note that RAN1 has made the following agreement in RAN1#105 regarding the mapping of SSB to PUSCH:

* *The SSB-to-PUSCH resource mapping within the CG configuration is implicitly defined.*
* *The ordering of the SSB and CG PUSCH resources are to be captured in RAN1 spec.*
	+ *A PUSCH resource refers to a transmission occasion and a DMRS resource used for PUSCH transmission*
	+ *The ordering of the SSB can reuse from the SSB-to-RO mapping*
	+ *The ordering of CG PUSCH resources can reuse from that of MsgA PUSCH as much as possible*

and in RAN1#106 regarding the SSB selection and DMRS port and sequence index:

* *Each N of consecutive SSB indexes associated to one CG configuration are mapped to valid CG PUSCH resources*
	+ *first, in increasing order of DMRS resource indexes, where a DMRS resource index DMRSid is determined first in an ascending order of a DMRS port index and second in an ascending order of a DMRS sequence index*
	+ *second, in increasing order of CG period indexes in the association period*

Edirot’s Note: whether UL carrier selection are performed for subsequent uplink transmission.

Editor’s Note: FFS how to capture the agreement for PDCCH monitoring after CG/DG transmission for CG-SDT.

Editor’s Note: FFS how to trigger SSB selection for subsequent uplink transmission.

After an uplink grant is configured for a configured grant Type 1, the MAC entity shall consider sequentially that the Nth (N >= 0) uplink grant occurs in the symbol for which:

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

After an uplink grant is configured for a configured grant Type 2, the MAC entity shall consider sequentially that the Nth (N >= 0) uplink grant occurs in the symbol for which:

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

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

If *cg-nrofPUSCH-InSlot* or *cg-nrofSlots* is configured for a configured grant Type 1 or Type 2, the MAC entity shall consider the uplink grants occur in those additional PUSCH allocations as specified in clause 6.1.2.3 of TS 38.214 [7].

NOTE: In case of unaligned SFN across carriers in a cell group, the SFN of the concerned Serving Cell is used to calculate the occurrences of configured uplink grants.

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

The MAC entity shall:

1> if at least one configured uplink grant confirmation has been triggered and not cancelled; and

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

2> if, in this MAC entity, at least one configured uplink grant is configured by *configuredGrantConfigToAddModList*:

3> instruct the Multiplexing and Assembly procedure to generate a Multiple Entry Configured Grant Confirmation MAC CE as defined in clause 6.1.3.31.

2> else:

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

2> cancel all triggered configured uplink grant confirmation(s).

For a configured grant Type 2, the MAC entity shall clear the configured uplink grant(s) immediately after first transmission of Configured Grant Confirmation MAC CE or Multiple Entry Configured Grant Confirmation MAC CE which confirms the configured uplink grant deactivation.

Retransmissions use:

- repetition of configured uplink grants; or

- received uplink grants addressed to CS-RNTI; or

- configured uplink grants with *cg-RetransmissionTimer* configured.

### 5.8.2.x Validation for CG-SDT

The MAC entity shall consider the CG-SDT resource to be valid when the following conditions are fulfilled:

1> compared to the stored downlink pathloss reference RSRP value at the UE’s last uplink transmission, the RSRP has not increased/decreased by more than *cg-SDT-RSRP-ChangeThreshold*, if configured; and

Editor’s NOTE: FFS whether RSRP change would affect the TA valididation for DG.

Editor’s NOTE: FFS the subset of SSBs for TA validation for CG-SDT

## 5.15 Bandwidth Part (BWP) operation

### 5.15.1 Downlink and Uplink

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

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

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

Editor’s Note: FFS BWP switching when separate SDT BWPs are configured for CG-SDTFor each SCell a dormant BWP may be configured with *dormantBWP-Id* by RRC signalling as described in TS 38.331 [5]. Entering or leaving dormant BWP for SCells is done by BWP switching per SCell or per dormancy SCell group based on instruction from PDCCH (as specified in TS 38.213 [6]). The dormancy SCell group configurations are configured by RRC signalling as described in TS 38.331 [5]. Upon reception of the PDCCH indicating leaving dormant BWP, the DL BWP indicated by *firstOutsideActiveTimeBWP-Id* or by *firstWithinActiveTimeBWP-Id* (as specified in TS 38.331 [5] and TS 38.213 [6]) is activated. Upon reception of the PDCCH indicating entering dormant BWP, the DL BWP indicated by *dormantBWP-Id* (as specified in TS 38.331 [5]) is activated. The dormant BWP configuration for SpCell or PUCCH SCell is not supported.

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

1> if a BWP is activated and the active DL BWP for the Serving Cell is not the dormant BWP:

2> transmit on UL-SCH on the BWP;

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

2> monitor the PDCCH on the BWP;

2> transmit PUCCH on the BWP, if configured;

2> report CSI for the BWP;

2> transmit SRS on the BWP, if configured;

2> receive DL-SCH on the BWP;

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

2> if *lbt-FailureRecoveryConfig* is configured:

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

3> set *LBT\_COUNTER* to 0;

3> monitor LBT failure indications from lower layers as specified in clause 5.21.2.

1> if a BWP is activated and the active DL BWP for the Serving Cell is dormant BWP:

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

2> not monitor the PDCCH on the BWP;

2> not monitor the PDCCH for the BWP;

2> not receive DL-SCH on the BWP;

2> not report CSI on the BWP, report CSI except aperiodic CSI for the BWP;

2> not transmit SRS on the BWP;

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

2> not transmit on RACH on the BWP;

2> not transmit PUCCH on the BWP;

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

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

2> if configured, perform beam failure detection and beam failure recovery for the SCell if beam failure is detected.

1> if a BWP is deactivated:

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

2> not transmit on RACH on the BWP;

2> not monitor the PDCCH on the BWP;

2> not transmit PUCCH on the BWP;

2> not report CSI for the BWP;

2> not transmit SRS on the BWP;

2> not receive DL-SCH on the BWP;

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

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

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

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

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

2> if the Serving Cell is an SpCell:

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

1> else:

2> if the Serving Cell is an SpCell:

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

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

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

1> if the Serving Cell is SCell:

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

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

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

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

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

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

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

If the MAC entity receives a PDCCH for BWP switching for a Serving Cell(s) or a dormancy SCell group(s) while a Random Access procedure associated with that Serving Cell is ongoing in the MAC entity, it is up to UE implementation whether to switch BWP or ignore the PDCCH for BWP switching, except for the PDCCH reception for BWP switching addressed to the C-RNTI for successful Random Access procedure completion (as specified in clauses 5.1.4, 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.

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

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

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

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

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

2> if a MAC PDU is transmitted in a configured uplink grant and LBT failure indication is not received from lower layers; or

2> if a MAC PDU is 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, 5.1.4a 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* and is not indicated by the *dormantBWP-Id* if configured; or

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

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

## 5.16 SUL operation

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

- an indication in DCI;

- the Random Access procedure as specified in clause 5.1.1;

- Small Data Transmission as specified in clause 5.x.

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

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

## 5.x Small Data Transmission

The MAC entity may be configured by RRC with SDT and SDT is initiated by RRC layer. SDT can be performed either by Random Access procedure with 2-step RA type or 4-step RA type (i.e., RA-SDT) or by configured grant type 1 (i.e., CG-SDT).

RRC configures the following parameters for SDT procedure:

- *sdt-DataVolumeThreshold*: data volume threshold for the UE to determine whether to perform SDT procedure;

- *sdt-RSRP-Threshold*: RSRP threshold for UE to determine whether to perform SDTprocedure;

- *sdt-RSRP-ThresholdSSB-SUL*: RSRP threshold for the selection between the NUL carrier and SUL carrier for SDT;

- *cg-SDT-RSRP-ThresholdSSB*: an RSRP threshold configured for SSB selection for CG-SDT.

The MAC entity shall, if triggered by the upper layer for SDT transmission:

1> if the data volume of the pending UL data across all logical channels configured for SDT according to the data volume calculation procedure in TSs 38.322 [3] and 38.323 [4] (The size of the RLC headers and MAC subheaders are not considered in the data volume computation.) is less or equal than *sdt-DataVolumeThreshold*; and

Editor’s NOTE: FFS whether the CCCH message is considered for data volume calculation.

1> if the RSRP of the downlink pathloss reference is higher than *sdt-RSRP-Threshold*:

2> if the Serving Cell for SDT is configured with supplementary uplink as specified in TS 38.331 [5]; and

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

3> select the SUL carrier.

2> else:

3> select the NUL carrier.

Editor’s NOTE: FFS the procedure when *sdt-RSRP-ThresholdSSB-SUL* is not configured

Editor’s Note: FFS whether the RSRP threshold for UL carrier selection is common for both CG and RA-SDT.

2> if CG-SDT is configured on the selected UL carrier, and the configured grant type 1 resource is valid according to clause 5.8.2.x; and

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

3> indicate to the upper layer that conditions for initiating SDT are fulfilled;

3> initiate CG-SDT on the selected UL carrier according to clause 5.8.2.

2> else if RA-SDT is configured on the selected UL carrier:

3> indicate to the upper layer that conditions for initiating SDT are fulfilled;

3> initiate RA-SDT on the selected UL carrier according to clause 5.1.

2> else:

3> indicate to the upper layer that the conditions to initiate SDT are not fulfilled;

1> else:

2> indicate to the upper layer that the conditions to initiate SDT are not fulfilled.

Editor’s NOTE: FFS when *sdt-RSRP-Threshold* is not configured

# 6 Protocol Data Units, formats and parameters

## 6.1 Protocol Data Units

### 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 or DTCH;

- a MAC subheader and padding.

Editor’s Note: FFS whether subsequent DL can be transmitted by msgB or it can only be transmitted by dynamic DL grant after successful contention resolution for 2-step RA-SDT.

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 successRAR' 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 successRAR' 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)

# 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–FFF2 | RA-RNTI, MSGB-RNTI, Temporary C-RNTI, C-RNTI, CI-RNTI, MCS-C-RNTI, CS-RNTI, TPC-PUCCH-RNTI, TPC-PUSCH-RNTI, TPC-SRS-RNTI, INT-RNTI, SFI-RNTI, SP-CSI-RNTI, PS-RNTI, SL-RNTI, SLCS-RNTI SL Semi-Persistent Scheduling V-RNTI, and AI-RNTI |
| FFF3–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 type | 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 |
| CI-RNTI | Cancellation indication in UL | N/A | N/A |
| PS-RNTI | DCP to indicate whether to start *drx-onDurationTimer* for associated DRX cycle | N/A | N/A |
| SL-RNTI | Dynamically scheduled sidelink transmission | SL-SCH | SCCH, STCH |
| SLCS-RNTI | Configured scheduled sidelink transmission(activation, reactivation and retransmission) | SL-SCH | SCCH, STCH |
| SLCS-RNTI | Configured scheduled sidelink transmission(deactivation) | N/A | N/A |
| SL Semi-Persistent Scheduling V-RNTI (NOTE 2) | Semi-Persistently scheduled sidelink transmission for V2X sidelink communication(activation, reactivation and retransmission) | SL-SCH | STCH |
| SL Semi-Persistent Scheduling V-RNTI(NOTE 2) | Semi-Persistently scheduled sidelink transmission for V2X sidelink communication(deactivation) | N/A | N/A |
| AI-RNTI | Availability indication on the given cell | N/A | N/A |
| NOTE 1: The usage of MCS-C-RNTI is equivalent to that of C-RNTI in MAC procedures (except for the C-RNTI MAC CE).NOTE 2: The MAC entity uses SL Semi-Persistent Scheduling V-RNTI to control semi-persistently scheduled sidelink transmission on SL-SCH for V2X sidelink communication as specified in clause 5.14.1.1 of TS 36.321 [22]. |

## 7.3 DELTA\_PREAMBLE values

The DELTA\_PREAMBLE preamble format based power offset values are presented in Tables 7.3-1 and 7.3-2.

Table 7.3-1: DELTA\_PREAMBLE values for long preamble formats.

|  |  |
| --- | --- |
| PreambleFormat | DELTA\_PREAMBLE values |
| 0 |  0 dB |
| 1 | -3 dB |
| 2 | -6 dB |
| 3 |  0 dB |

Table 7.3-2: DELTA\_PREAMBLE values for short preamble formats.

|  |  |
| --- | --- |
| PreambleFormat | DELTA\_PREAMBLE values (dB) |
| A1 | 8 + 3 × *μ* |
| A2 | 5 + 3 × *μ* |
| A3 | 3 + 3 × *μ* |
| B1 | 8 + 3 × *μ* |
| B2 | 5 + 3 × *μ* |
| B3 | 3 + 3 × *μ* |
| B4 | 3 × *μ* |
| C0 | 11 + 3 × *μ* |
| C2 | 5 + 3 × *μ* |

where *μ* is the sub-carrier spacing configuration determined by *msg1-SubcarrierSpacing* or *msgA-SubcarrierSpacing*, as specified in TS 38.331 [5] and Table 4.2-1 in TS 38.211 [8], and the preamble formats are given by *prach-ConfigurationIndex* or *msgA-PRACH-ConfigurationIndex*, as specified in TS 38.331 [5] and Tables 6.3.3.2-2 to 6.3.3.2-4 in TS 38.211 [8].

Editor’s NOTE: FFS the subcarrier spacing for 2-step and 4-step RA-SDT

Annex A (not part of the spec): RAN2 Agreements on Small Data

This Annex contains the RAN2 agreements on Rel-17 WI for Small Data.

## RAN2#111e

***Agreements***

1 Small data transmission with RRC message is supported as baseline for RA-based and CG based schemes

2 RRC-less can be studied for limited use cases (e.g. same serving cell and/or for CG) with lower priority

3 Context fetch and data forwarding with anchor re-location and without anchor re-location will be considered. FFS if there are problems with the scenario “without anchor relocation”.

4 From RAN2 perspective, stored “configuration” in the UE Context is used for the RLC bearer configuration for any SDT mechanism (RACH and CG).

5 The 2-step RACH or 4-step RACH should be applied to RACH based uplink small data transmission in RRC\_INACTIVE

6 The uplink small data can be sent in MSGA of 2-step RACH or msg3 of 4-step RACH.

7 Small data transmission is configured by the network on a per DRB basis

8 Data volume threshold is used for the UE to decide whether to do SDT or not. FFS how we calculate data volume.

 FFS if an “additional SDT specific” RSRP threshold is further used to determine whether the UE should do SDT

9 UL/DL transmission following UL SDT without transitioning to RRC\_CONNECTED is supported

10 When UE is in RRC\_INACTIVE, it should be possible to send multiple UL and DL packets as part of the same SDT mechanism and without transitioning to RRC\_CONNECTED on dedicated grant. FFS on details and whether any indication to network is needed.

## RAN2#112e

|  |
| --- |
| **Agreements:**1 For small data, for RACH and CG based solutions when the UE receives RRC release with Suspend config, the UE at least performs the following actions (i.e. same action as in legacy): - MAC is reset and default MAC cell group configuration is released - RLC entities for SRB1 are re-established - SRBs and DRBs are suspended except SRB0NOTE: SDT termination will be discussed with later papers2 For both RACH and CG based solutions, upon initiating RESUME procedure for SDT initiation (i.e. for first SDT transmission), the UE shall re-establish at least the SDT PDCP entities and resume the SDT DRBs that are configured for small data transmission (along with the SRB1). *FFS for non-SDT DRBs. FFS on implicit vs. explicit. FFS on whether we a new Resume cause. FFS on whether we need to deal with suppressing PDCP status report* 3 The first UL message (i.e. MSG3 for 4-step RACH, MSGA payload for 2-step RACH and the CG transmission for CG) may contain at least the following contents (depending on the size of the message):- CCCH message (needs to be included)LCP can be used to determine to priority of the content below that may be included- DRB data from one or more DRBs which are configured by the network for small data transmission - MAC CEs – (e.g. BSR). FFS other MAC CEs - Padding bits FFS if we need to ensure that SDT data only is included. Depends on whether the UE initiates legacy/normal resume 4 For RACH and CG, the existing UAC procedure to determine whether access attempt is allowed, will be reused for SDT.5 SDT is transparent to NAS layer (i.e. NAS generates one of the existing resume causes and AS decides SDT vs non-SDT access)6 In case of RRC-based solution, for both RACH and CG based solutions, the CCCH message contains ResumeMAC-I generated using the stored security key for RRC integrity protection – i.e same as Rel-16.7 For both RACH and CG based solutions, new keys are generated using the stored security context and the NCC value received in the previous RRCRelease message (i.e. same as legacy procedure) and these new keys are used for generating the data of DRBs that are configured for SDT.8 For RACH based solutions, upon successful completion of contention resolution, the UE shall monitor the C-RNTI. *9 Determine if RAN1 LS is needed later – current list of possible questions* input on the coreset/search space for the C-RNTI (i.e. is it common or dedicated)10: As a baseline, the RACH resource i.e. (RO+preamble combination) is different between SDT and non-SDT - If ROs for SDT and non SDT are different, preamble partitioning between SDT and non SDT is not needed.- If ROs for SDT and non SDT are same, preamble partitioning is neededFFS if common configuration should be allowed11: If the RACH resource i.e. (RO+preamble combination) is different between SDT and non-SDT then there is no further need for any differentiation between MSG2/MSGB for SDT vs non-SDT |

**Agreements:**

1. *RAN2 confirm that RACH based SDT is supported with and without UE context relocation*
2. *Using a RLC configuration stored in UE Context is confirmed. List how they can be used and final decision is up to RAN3*
3. *Inform RAN3 on UE SDT data handling impact including using a stored RLC configuration*

**Agreements**

Define a new timer. FFS whether it has the same definition as T319 or it is restarted every UL/DL

**Agreements:**

1. The configuration of configured grant resource for UE uplink small data transfer is contained in the RRCRelease message. FFS if other dedicated messages can configure CG in INACTIVE CG. Configuration is only type 1 CG with no contention resolution procedure for CG.
2. The configuration of configured grant resource can include one type 1 CG configuration. FFS if multiple configured CGs are allowed
3. A new TA timer for TA maintenance specified for configured grant based small data transfer in RRC\_INACTIVE should be introduced. FFS on the procedure, the validity of TA, and how to handle expiration of TA timer. The TA timer is configured together with the CG configuration in the RRCRelease message.
4. The configuration of configured grant resource for UE small data transmission is valid only in the same serving cell. FFS for other CG validity criteria (e.g. timer, UL/SUL aspect, etc)
5. The UE can use configured grant based small data transfer if at least the following criteria is fulfilled (1) user data is smaller than the data volume threshold; (2) configured grant resource is configured and valid; (3) UE has valid TA. FFS for the candidate beam criteria.
6. From RAN2 point of view: An association between CG resources and SSBs is required for CG-based SDT. FFS up to RAN1 how the association is configured or provided to the UE. Send an LS to RAN1 to start the discussion on how the association can be made. Mention that one option RAN2 considered was explicit configuration with RRC Release message
7. A SS-RSRP threshold is configured for SSB selection. UE selects one of the SSB with SS-RSRP above the threshold and selects the associated CG resource for UL data transmission.

## RAN2#113e

**Agreements**

1. CG-SDT resource configuration is provided to UEs in RRC\_Connected only within the RRCRelease message, i.e. no need to also include it in RRCReconfiguration message
2. CG-PUSCH resources can be separately configured for NUL and SUL. FFS if we allow them at the same time. This depends on the alignments CRs for Rel-16.
3. RRCRelease message is used to reconfigure or release the CG-SDT resources while UE is in RRC\_INACTIVE
4. For CG-SDT the subsequent data transmission can use the CG resource or DG (i.e dynamic grant addressed to UE’s C-RNTI). Details on C-RNTI, can be the same as the previous C-RNTI or may be configured explicitly by the network can be discussed in stage 3
5. TAT-SDT is started upon receiving the TAT-SDT configuration from gNB, i.e. RRCrelease message, and can be (re)started upon reception of TA command.
6. From RAN2 point of view, assume similar to PUR, that we introduce a TA validation mechanism for SDT based on RSRP change, i.e. RSRP-based threshold(s) are configured. Ask RAN1 to confirm. FFS on how to handle CG configuration when TA expires or when is invalid due to RSRP threshold. Details of the TA validation procedure can be further discussed.
7. As a baseline assumption, it’s a network configuration issue whether to support multiple CG-SDT configurations per carrier in RRC\_INACTIVE (i.e. we will not restrict network configuration for now).
8. FFS Discuss further in stage 3 how to specify the agreement that CG-SDT resources are only valid in one cell (i.e. cell in which RRCRelease is received)
9. UE releases CG-SDT resources when TAT expires in RRC\_Inactive state

**Agreements**

1 For RA-SDT, up to two preamble groups (corresponding to two different payload sizes for MSGA/MSG3) may be configured by the network

*2 [CB]* UE performs carrier selection as per legacy procedure and then the UE determines whether SDT can be initiated.

*3 [CB]* Upon initiating SDT, after the carrier selection, if valid CG-SDT resource exists, then CG-SDT is chosen, otherwise UE proceeds to RA-SDT procedure.

*4* If RACH procedure is initiated for SDT (i.e. RA-SDT initiated), the UE first performs RACH type selection as specified in MAC (i.e. Rel-16). FFS whether threshold is SDT specific or not

**Agreements:**

1. RAN2 continues to progress the work based the separate RACH resources for SDT (i.e. explicit mechanisms to support common resources won’t be pursued unless there is sufficient support for this. However, use of common RACH resources will not be precluded if possible via implementation
2. RAN2 design assumes that RRCRelease message is sent at the end to terminate the SDT procedure from RRC point of view. The RRCRelease sent at the end of the SDT may contain the CG resource (as per previous agreement). Write an LS to SA3 to explain SDT procedure and agreement.
3. The UE behaviour for handling of non-SDT data arrival after sending the first UL data packet is fully specified (i.e. not left to UE implementation)
4. FFS RAN2 will consider the additional option of using DCCH message to indicate arrival of non-SDT data (details to be discussed). Discussion will continue on all three options.
5. FFS: RSRP threshold to select between SDT and non-SDT procedure.
6. FFS also whether this RSRP threshold to select between SDT and non-SDT procedure is used for CG-SDT, RA-SDT, or both and whether the RSRP threshold is the same for CG-SDT and RA-SDT. FFS when the RSRP threshold check is made
7. FFS If both carriers can be selected and CG resources are available on one carrier only, does the UE select the carrier with CG?
8. For SDT, UE performs UL carrier selection (i.e. if SUL is configured in the cell, UL carrier selected based on RSRP threshold). FFS whether the RSRP threshold for carrier selection is specific to SDT)
9. If CG-SDT resources are configured on the selected UL carrier and are valid, then CG-SDT is chosen. Otherwise,

• If 2 step RA-SDT resources are configured on the UL carrier and criteria to select 2 step RA SDT is met, then 2 step RA-SDT is chosen

• else If 4 step RA-SDT resources are configured on the UL carrier and criteria to select 4 step RA SDT is met, then 4 step RA-SDT is chosen

• else UE does not perform SDT (i.e. perform non-SDT resume procedure)

• If both 2 step RA-SDT and 4 step RA-SDT resources are configured on the UL carrier, RA type selection is performed based on RSRP threshold.

- FFS whether RSRP threshold for RA type selection is common or different for SDT and non SDT.

 FFS what validity includes if we need to deal with CG resource availability delay?

***Working assumption***

1. *Support configuring of SRB1 and SRB2 for small data transmission for carrying RRC and NAS messages.*
2. *Upon initiating RRC Resume procedure for SDT initiation (i.e. for first SDT transmission), the UE shall also resume SRB2 that is configured for SDT, in addition to SDT DRBs that are configured for SDT*
3. *RAN2 recommends to include SRB2 in WID*

## RAN2#113bise

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| **Agreements:**1. RSRP threshold is used to select between SDT and non-SDT procedure, if configured (RSRP refers to the same RSRP measured for carrier selection).
2. RSRP threshold to select between SDT and non-SDT procedure is used for both CG-SDT and RA-SDT
3. RSRP threshold to select between SDT and non-SDT procedure is same for both CG-SDT and RA-SDT
4. RSRP threshold for carrier selection is specific to SDT (i.e. separately configured for SDT). This is optional for the network.
5. Confirm that cell selection mechanism is not modified
6. RSRP threshold for RA type selection is specific to SDT (i.e. separately configured for SDT)
7. Data volume threshold is the same for CG-SDT and RA-SDT (can be checked further in stage 3 if we obtain majority support)

8 *FFS on the order and missing pieces (e.g. failure, fallback) of the high level procedure. The details of the procedures are left for stage 3. FFS on the procedure below, but copied for information.* A. Upon arrival of data only for DRB/SRB(s) for which SDT is enabled, the high level procedure for selection between SDT and non SDT procedure is as follows: If CG-SDT criteria is met: UE selects CG-SDT. UE initiate SDT procedure Else if RA-SDT criteria is met: UE selects RA-SDT. UE initiate SDT procedure Else: UE initiate non SDT procedure. B. CG-SDT criteria is considered met, if all of the following conditions are met,1) available data volume <= data volume threshold2) RSRP is greater than or equal to a configured thresholdFFS 3) CG-SDT resources are configured on the selected UL carrier and are validC. RA-SDT criteria is considered met, if all of the following conditions are met,1) available data volume <= data volume threshold2) RSRP is greater than or equal to a configured threshold3) 4 step RA-SDT resources are configured on the selected UL carrier and criteria to select 4 step RA SDT is met; or 2 step RA-SDT resources are configured on the selected UL carrier and criteria to select 2 step RA SDT is met1. Switching from SDT to non-SDT is supported.
2. FFS Switching from CG-SDT to RA-SDT is not allowed

11 UE switches from SDT to non-SDT in following cases:- Case 1 (27/0): UE receive indication from network to switch to non-SDT procedure. - Network can send RRCResume. FFS whether network can send indication in RAR/fallbackRAR/DCI to switch to non-SDT procedure.- FFS Case 2 (18/9): Initial UL transmission (in msgA/Msg3/CG resources) fails configured number of times |

**Agreements**

1gNB can only configure MN terminated MCG bearer type for SDT

2 Non-SDT radio bearers are only resumed upon receiving RRCResume (same as today)

3 Down-scope to two solutions (CCCH or DCCH) and ask SA3 about security issues (explain that CCCH message will be repeated in same cell and ask if there is a question)

**Agreements**

1 The UE performs PDCP re-establishment implicitly, i.e. without explicit indication for PDCP re-establishment, when the UE initiates SDT procedure.

2 As in legacy, whether to support ROHC continuity is explicitly configured by the network.

3 PDCP duplication is not supported for SDT

4 connected mode DRX is not supported for SDT

5 PHR functionality is supported for SDT. FFS on PHR procedure

6 SR resource is not configured for SDT. When the BSR is triggered by SDT data, the UE will trigger RA because SR resource is not available, same as legacy

**Agreements:**

1. SDT failure detection timer is started upon initiation of SDT procedure
2. T319 legacy is not started if RRCResumeRequest or RRCResumeRequest1 is transmitted …
3. T319 legacy stop conditions also apply to SDT failure detection timer
4. RRC re-establishment procedure is not supported for SDT

5 An LS is sent to SA3 to verify feasibility/impacts of re-using same NCC/I-RNTI value temporarily for RRC Resume procedure in new cell during SDT procedure (include same cell question from 502]

6 FFS - RAN2 to select between the following options for cell re-selection during ongoing SDT procedure next meeting: 1) UE transitions to IDLE, possibly performing high-layer retransmission (8/25); or 2) UE remains in INACTIVE and sends RRC Resume to new cell

7 FFS Upon SDT failure detection timer expiry, the same procedure as T319 expiry is used (e.g. transition to IDLE as in the case of expiry of the T319 timer and attempts RRC connection setup) (18/8)

**Agreements:**

1 CG-SDT resources can be configured at the same time on NUL and SUL

2 Implicit release of CG-SDT resource is not supported

3 UE start a window after CG/DG transmission for CG-SDT. FFS whether to design a new timer or to reuse an existing timer.

4 Support retransmission by dynamic grant for CG-SDT.

5 Support multiple HARQ processes for uplink CG-SDT.

6 CG resource availability delay is not considered as a criterion for CG validation.

7 UL carrier selection is performed before CG-SDT selection

*8 FFS CG-SDT resource can be configured on BWPs other than initial BWP*

## RAN2#114e

**Agreement**

1. CFRA is not supported for RA-SDT
2. The separate search space is common to the UEs performing RA-SDT. Inform RAN1 of this agreement
3. Working assumption: UE-specific search space is configured for UEs performing CG-SDT. RAN2 asks RAN1 whether this working assumption can be confirmed
4. The UE needs to monitor paging after UE initiates SDT for system information change, PWS. FFS for other cases
5. CG-SDT resource can be configured on either initial BWP or separate SDT BWP. Ask RAN1 to confirm
6. FFS CS-RNTI based dynamic retransmission is reused for CG-SDT

**Agreements:**

1. Release of CG-SDT configuration by system information indication is not supported
2. RAN2 thinks that some feedback may be beneficial in case CG is used for subsequent transmission. RAN2 assumes that existing mechanism can be used.
3. For initial CG transmission, UE does not select any SSB if none of the SSBs’ RSRP is above the RSRP threshold. FFS if re-evaluation for every CG transmission is necessary

## RAN2#115e

=> FFS whether to move the SDT or/non-SDT data volume threshold to RRC

**Agreements**

- Data volume used for SDT selection criteria is calculated as the total sum of Buffer Size across SDT RBs (i.e. same approach as BSR)

**Agreements**:

1. At initiation of SDT procedure, the PDCP status report is not triggered even if the RB is configured with statusReportRequired
2. If ROHC is configured, the area scope of ROHC continuity is specified in the specification, i.e. gNB configuration is not needed
3. For SDT procedure selection, Same data volume threshold is used for CG-SDT and RA-SDT
4. The BSR configuration used for SDT can be different from the BSR configuration used in RRC\_CONNECTED.
5. [CB] FFS Whether the BSR configuration used for SDT is configured by gNB or used from default configuration needs further discussion. (gNB 10 / default 11)
6. Legacy PHR triggers are applied for SDT
7. DL SPS is not supported for SDT
8. DataInactivityTimer is not supported for SDT.
9. RLC polling is supported for SDT.
10. The UE performs RLC re-establishment implicitly, i.e. without explicit indication for RLC re-establishment, when the UE initiates SDT procedure.
11. At initiation of SDT procedure, the RRC indicates to the PDCP to disable the PDCP status report, e.g. by de-configuring statusReportRequired (i.e. UE internally indicates). FFS how PDCP status reporting is enabled.
12. The LCP priority of PHR MAC CE in SDT is same as in RRC\_CONNECTED, i.e. the PHR MAC CE in SDT is prioritized over SDT data
13. During the SDT procedure, all the triggered PHRs are cancelled if all SDT data are included in the UL grant, if there is NO room in the MAC PDU to fit the PHR.
14. Working assumption: LCH restrictions can be applied, re-using existing signalling. It is up to gNB how restrictions are configured and MAC applies current specification rules. Revisit next meeting if we have technical issues.

**Agreements**

1. No new solution is defined to prevent data loss or duplication for the scenario where the anchor relocation is required in the middle of an SDT session, i.e. network can release UE back into RRC\_INACTIVE
2. PDCP entities of only the non-SDT RBs are re-established (i.e. not for the SDT RBs) when the UE moves from RRC\_INACTIVE with SDT session ongoing to RRC CONNECTED.
3. Events that trigger a termination or failure of an ongoing SDT session 1) cell reselection, 2) expiry of the SDT failure detection timer, 3) when Max retx is reached in RLC. RLC AM max retransmission functionality remains unchanged.
4. When a UE detects a failure of an ongoing SDT session, UE transitions autonomously into RRC\_IDLE (as baseline solution). If time allows or have a ready solution we can consider further optimizations.

**Agreements**

1. SDT related RACH resources are configured via system information, i.e., SIB1
2. Explicit indication (other than RA-SDT configuration) to enable/disable RA-SDT is not supported
3. At least the following parameters can be RA-SDT specific.
	* + SSB selection related parameters, i.e., rsrp-ThresholdSSB, msgA-RSRP-ThresholdSSB.
		+ Power control related parameters, i.e., preambleReceivedTargetPower/gA-PreambleReceivedTargetPower, powerRampingStep/msgA-PreamblePowerRampingStep, msg3-DeltaPreamble/msgA-DeltaPreamble.
		+ Preamble group related parameters, i.e., msg3-DeltaPreamble/msgA-DeltaPreamble, messagePowerOffsetGroupB for 2-step RA-SDT and 4-step RA-SDT.
4. For shared ROs case, all the following configurations can be allowed: (28/28)
* 4-step RA-SDT shares ROs with 4-step RA and/or 2-step RA
* 2-step RA-SDT shares ROs with 4-step RA and/or 2-step RA
* 2-step RA-SDT shares ROs with 4-step RA-SDT and/or 4-step RA and/or 2-step RA.
1. For the RA-SDT preamble group selection, the UE should consider SDT data size plus MAC subheader in addition to CCCH SDU size plus MAC subheader and pathloss, same in legacy. FFS whether any additional things on top of legacy criteria is needed.
2. The fallbackRAR reception as legacy 2-step RACH is supported in 2-step RA-SDT, i.e., fallback from 2-step RA-SDT to 4-step RA-SDT when fallbackRAR is received
3. As legacy, UE can be configured to switch from 2-step RA-SDT to 4-step RA-SDT after N times of MsgA transmission
4. Send an LS to RAN1 to provide overall relevant agreements. Check if the PUCCH resources used for HARQ-ACK during subsequent SDT transmissions (applicable for both RA and CG). Ask if other L1 PHY resources may be needed for subsequent SDT transmission, for example RAN2 thinks we can use the common resources (PDCCH and PUCCH) for RA and ask if we need others.
	* Add that RAN2 discussed RA-SDT configuration on non-initial BWP. There was a large number of companies supporting and other companies expressed concerns on complexity and paging monitoring. Ask RAN1 if they have any concerns from their side. NOTE that RAN2 agreed for CG-SDT we already agreed to dedicated BWP and why we decided to support it.
5. UE suspends all UL transmissions and triggers RACH if any UL transmission is needed (same as in connected mode) when TAT expires during RA-SDT procedure
6. RA-SDT can be configured on initial BWP. FFS for non-initial BWP
7. RA prioritization related parameters cannot be configured for RA-SDT, i.e., powerRampingStepHighPriority, scalingFactorBI
8. UE selects any SSBs if there is no qualified SSB for RA-SDT, like in legacy. No optimizations are considered.
9. Switching from SDT to non-SDT via RAR/fallbackRAR/DCI sent by network is not supported for RA-SDT
10. No new timer (other than the SDT failure detection timer) is introduced to control the PDCCH monitoring during subsequent transmissions in RA-SDT

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| **Agreements**1. If none of the SSBs’ RSRP is above the RSRP threshold of CG-SDT criteria in the type selection phase, UE should select RA-SDT if RA-SDT criteria is met2. MAC PDU rebuilding is not required (unless we find a case that is needed)3. During subsequent CG transmission phase (i.e. after the UE has received response from NW) UE can initiate at least legacy RACH procedure (e.g. trigger due to no UL resources). No MAC PDU rebuilding is required. FFS if the RA-SDT RA resources can be used for subsequent data. a. At least the following conditions are agreed: (1) no qualified SSB when the evaluation is performed; (2) when TA is invalid; (3) when SR is triggered due to lack of UL resource4. UE should release CG-SDT resource (if stored) when UE initiates RRC resume procedure from another cell which is different from the cell in which the RRCRelease is received.5. The C-RNTI previously configured in RRC\_CONNECTED state is used for UE to monitor PDCCH in CG-SDT. 6. CS-RNTI based dynamic retransmission mechanism can be reused for CG-SDT. FFS whether CS-RNTI is the same one as the one previously configured in RRC\_CONNECTED or a new CS-RNTI one is provided to the UE7. During the subsequent new CG transmission phase, for the purpose of CG resource selection, UE re-evaluates the SSB for subsequent CG transmission. FFS what happens if no SSBs are valid or if no sample is available8. From RAN2 perspective, at least the following parameters should be included in the CG-SDT configuration. FFS whether these parameters are common for multiple CG-SDT configurations or per CG-SDT configuration.* The new TA timer in RRC\_INACTIVE;
* The RSRP change threshold for TA validation mechanism in SDT (details dependent on RAN1);
* The SSB RSRP threshold for beam selection (i.e. UE selects the beam and associated CG resource for data transmission).
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Annex B: (not part of the spec): RAN1 Agreements on Small Data

## RAN1 104-e

* From RAN1 perspective, at least a new SearchSpace that is different from the existing common SearchSpace should be supported for monitoring the PDCCH addressed to the C-RNTI after successful completion of the RACH procedure during RA-SDT
	+ It is up to RAN2 decision if the new SearchSpace is UE-specific or common to the UEs performing RA-SDT
* If the new SearchSpace is not configured, type-1 PDCCH CSS can be reused.
* FFS UE-specific CORESET or common CORESET, depending on the conclusion for SearchSpace.
* One or multiple SSBs can be configured per CG configuration for CG-SDT.
* From RAN1 perspective, the following alternatives can be considered for the association between the configured SSBs and the CG resources (including transmission occasions and DMRS) per CG configuration for CG-SDT.
	+ Alt. 1: Reuse the SSB-to-RO mapping rules
		- FFS the potential RAN1 impact, e.g. mapping ratio and association period
	+ Alt. 2: All the CG transmission occasions per CG configuration are associated with the same set of SSB(s) by explicit signalling.
	+ Other solutions are not precluded
* FFS whether repetition is supported for CG-SDT or not, and if supported how to handle the mapping between the SSBs and repetitions
* FFS TA validation and PUSCH validation for CG-SDT.

## RAN1 104bis-e

RAN1 discussed TA validation based on RSRP change criterion, and confirms that the change of RSRP could be taken as an optional criterion for determining the validity of the UL TA for CG-SDT considering the multi-beam operation. The criterion is valid only when the gNB configures RSRP change thresholds. RAN1 sees a few potential options on how the RSRP change thresholds are configured, e.g., cell level configured, or per set of SSBs configured, or configured per CG PUSCH configuration, etc. RAN1 understands this shall be studied in RAN2.

The RSRP in the criterion is a linear averaged RSRP of a subset of SSBs.The suitable mechanism for determining this subset of SSBs is still to be discussed further in RAN1. Candidates under study include e.g., determination based on an absolute RSRP threshold, or based on the SSB subset in configuration, etc. RAN1 will inform RAN2 if further progress is achieved in future.

**Proposed conclusion 1:**

* It is RAN1’s common understanding that the CG configuration mechanism in licensed band can be reused for CG-SDT in principle.

**Updated proposal 2:**

* CG resources per CG configuration are associated with a set of SSB(s) configured by explicit signalling.
	+ FFS how to define an SSB-to-PUSCH resource mapping within the CG configuration.

FFS specific changes to the CG configuration to support the additional SSB-to-PUSCH mapping, if any.

## RAN1 105

Agreement:

* The SSB-to-PUSCH resource mapping within the CG configuration is implicitly defined.
* The ordering of the SSB and CG PUSCH resources are to be captured in RAN1 spec.
	+ A PUSCH resource refers to a transmission occasion and a DMRS resource used for PUSCH transmission
	+ The ordering of the SSB can reuse from the SSB-to-RO mapping
	+ The ordering of CG PUSCH resources can reuse from that of MsgA PUSCH as much as possible
* FFS determination of mapping ratio and association period, e.g., explicitly signaled or implicitly derived
* FFS any limitation on the combination of the parameters for CG resources

Agreement:

* The SSB subset for RSRP based TA validation is determined at least based on a configured absolute RSRP threshold.
* FFS the SSB subset which could be
	+ within a set of SSBs configured per CG configuration
	+ or within a set of SSBs configured for all CG configurations
	+ or within a set of all SSBs actually transmitted as indicated in SIB1.
	+ or highest N SSBs that are measured to derive the subset for a UE across all CG configurations

## RAN1 106

**Conclusion**

RAN1 cannot reach consensus on the following options for the SSB subset for RSRP based TA validation. Ask RAN2 if they can do the down-selection.

1. Option 1: Within a set of SSBs configured per CG configuration
2. Option 2: Within a set of SSBs configured for all CG configurations
3. Option 3: Within a set of all SSBs actually transmitted as indicated in SIB1
4. Option 4: Highest N SSBs of all SSBs actually transmitted as indicated in SIB1

**Agreement**

* Each N of consecutive SSB indexes associated to one CG configuration are mapped to valid CG PUSCH resources
	+ first, in increasing order of DMRS resource indexes, where a DMRS resource index *DMRSid* is determined first in an ascending order of a DMRS port index and second in an ascending order of a DMRS sequence index
	+ second, in increasing order of CG period indexes in the association period
* The mapping ratio N is explicitly signalled and the association period is implicitly derived
	+ FFS candidate value set of mapping ratio, and whether it is configured per CG configuration or per cell
	+ The SSB to CG PUSCH association period is the duration of multiple of CG periods depending the smallest time duration in the set determined by the CG period such that all SSBs associated with the CG configuration are mapped at least once to CG PUSCH resources.
	+ An association pattern period includes one or more association periods and is determined so that a pattern between CG PUSCH occasions and SS/PBCH block indexes associated with the CG configuration repeats at most every 640 msec.
* Note: The mapping ordering and steps may be revisited if multiple CG PUSCH occasions in one CG period is supported

**Agreement**

Support multiple DMRS resources per CG configuration when single layer PUSCH transmission is assumed, and each DMRS resource could be mapped to the same or different SSB(s)

* FFS if multi-layer PUSCH transmission is supported for CG-SDT
* FFS any limitation on the DMRS configuration if multiple CG PUSCH occasions per CG period is supported

 **Agreement**

* The following PUSCH occasion validation rule is applied for CG-SDT
	+ for unpaired spectrum and for SS/PBCH blocks with indexes provided by ssb-PositionsInBurst in SIB1 or by ServingCellConfigCommon
		- if a UE is provided tdd-UL-DL-ConfigurationCommon, the valid PO is the PO in UL part in a slot, or at least Ngap symbols after the end of the DL part in a slot or after the end of the SSB in a slot
		- if a UE is not provided tdd-UL-DL-ConfigurationCommon, the valid PO does not precede a SS/PBCH block in the PUSCH slot, starts at least *Ngap* symbols after a last SS/PBCH block symbol
		- *Ngap* is provided in Table 8.1-2 in TS 38.213
	+ FFS if any validation rule following the CG-PUSCH in RRC connected state is applicable, and whether and how to handle the overlapping between CG-PUSCH occasions for CG-SDT and any valid PRACH occasion or MsgA PUSCH occasion.
* FFS the rule for paired spectrum, and whether/how to support CG-SDT for UEs operating in Type-A HD-FDD.

**Agreement**

LS to RAN2 on LS on the TA validation and mapping details for CG-SDT is endorsed in R1-2108649.

**Agreement**

Reply LS to [R1-2106405](file:///C%3A%5CUsers%5Cyouns%5COneDrive%5CDocuments%5C3GPP%5CRAN1%20tdocs%5CTSGR1_106-e%5CDocs%5CR1-2106405.zip) (Reply LS to RAN1 on physical layer aspects of small data transmission, RAN2) in endorsed in R1-2108533.

Regarding RA-SDT, RAN1 discussed the configuration parameters for the PRACH resource configuration when PRACH occasions are shared between SDT and non-SDT and when PRACH occasions are separately configured for SDT and non-SDT. RAN1 made the following agreements/conclusion for RA-SDT.

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| **Agreement:*** For RA-SDT, when PRACH occasions are separate between SDT and non-SDT, PRACH resource configurations/parameters for 4-step RACH and/or 2-step RACH should be re-used as much as possible for 4-step RACH and/or 2-step RACH based SDT, respectively.
	+ Note: It is up to RAN2 discussion on the RO configuration for RA-SDT in separate ROs.
* For RA-SDT, when PRACH occasions are shared between SDT and non-SDT, at least following parameters can be configured, including 4-step RACH and/or 2-step RACH based SDT operation.
	+ Number of contention-based preambles for SDT per SSB per valid RO
	+ Note: whether starting position of the preambles for SDT per SSB per valid RO needs to be configured for RA-SDT in shared ROs is up to RAN2 discussion.
* **For RA-SDT, when PRACH occasions are shared between SDT and non-SDT, a PRACH mask can be configured to indicate a subset of ROs for RA-SDT.**
* For RA-SDT in shared ROs and separate ROs with non-SDT, the power control parameters follow those for non-SDT,
	+ i.e. preambleReceivedTargetPower and power ramping setting follow those for non-SDT.

**Conclusion:** * Further discuss on the case when ROs are shared between SDT and non-SDT, but different RACH types have separate ROs after RAN2’s decision
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Regarding the questions for CG-SDT on the working assumption and agreements, RAN1 made the following agreements on BWP for CG-SDT resource. RAN1 kindly requests RAN2 to provide more information on the necessity of the CG-SDT resource configured on a separate SDT BWP. Regarding the search space and L1 feedback for CG-SDT, RAN1 will continue the discussion.

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| **Agreement:*** RAN1 confirms the RAN2 agreement that CG-SDT resource can be configured on initial BWP
	+ FFS whether CG-SDT resource can be configured on a separate BWP.
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