**3GPP TSG-RAN WG2 Meeting #117-e**

**Electronic Meeting , Feb 21th – Mar 3rd, 2022**

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| *CR-Form-v12.2* |
| **CHANGE REQUEST** |
|  |
|  | **38.321** | **CR** | **1210** | **rev** |  | **Current version:** | **16.7.0** |  |
|  |
| *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:***  | Introduction of eDCCA |
|  |  |
| ***Source to WG:*** | vivo |
| ***Source to TSG:*** | RAN2 |
|  |  |
| ***Work item code:*** |  |  | ***Date:*** | 2022-03-04 |
|  |  |  |  |  |
| ***Category:*** | B |  | ***Release:*** | R17 |
|  | *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-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)Rel-19 (Release 19)* |
|  |  |
| ***Reason for change:*** | Introduction of SCG activation and deactivation |
|  |  |
| ***Summary of change:*** | Merge SCG activation/ deactivation and TRS based SCell activation CR for LTE\_NR\_DC\_enh2-Core WI.**For SCG activation/ deactivation****RAN2 #112e*** Continue RAN2 work with the assumption that when the SCG is deactivated, the UE does not monitor PDCCH on the PSCell. This assumption can be reconsidered if issues are found.
* RAN2 assumes that UE will not perform SRS transmission while the SCG is deactivated. This assumption can be reconsidered if issues are found.
* SCG RRC reconfiguration can select the SCG activation state (activated/deactivated) at PSCell addition/change, RRC resume or HO.
* While the SCG is deactivated:

- there can be SCG SCells in deactivated state- there cannot be SCG SCells in activated state- it is FFS whether there can be SCells in SCG dormant state.**RAN2#113e*** SCG activation can be requested by MN/SN/UE. FFS on how to accept/reject the procedure. FFS which signalling is used.
* SCG deactivation can be requested by MN/SN. FFS whether UE can request deactivation. FFS on how to accept/reject the procedure. FFS which signalling is used.
* RRC signalling is defined for the interaction between UE/MN and MN/SN in SCG activation/deactivation. FFS if lower-layer signalling is needed.
* Confirm that there is no PUSCH transmission on deactivated SCG. FFS if any other UL is allowed towards SCG.
* Confirm that there is no PDCCH monitoring on PSCell of the deactivated SCG.
* Confirm that there is no support of SCell dormancy for SCG SCells within a deactivated SCG.
* NW-triggered SCG activation is indicated to the UE via the MCG.
* NW-triggered SCG deactivation can be indicated to the UE via the MCG. FFS via SCG.

**RAN2 #115e*** We will support RACHless SCG activation in Rel-17.
* UE-initiated activation is still FFS.
* The TAT associated with the PSCell continues running when the SCG is switched from activated to deactivated state and the UE considers the TA as valid as long as it is still running.
* If instructed by the network in the SCG activation indication, the UE performs random access towards the PSCell (even if the TAT is still running).
* The SCG activation indication can indicate the TCI state (with or without BWP switching) for PDCCH/PDSCH reception. Otherwise, the UE uses the previously activated TCI states and the network should ensure that the relevant TCI states are configured and activated for the UE to monitor PDCCH at RACH-less SCG activation.
* The UE performs RLM and BFD on PSCell while the SCG is deactivated if network configures it.

**RAN2 #116e*** At PSCell addition/change/HO/RRC resume, in case the SCG state is configured as deactivated, the UE does not perform random access. If the network wants the UE to perform random access, it can indicate the SCG as activated and deactivate it after the random access by RRC or MAC CE if supported.
* Upon SCG deactivation, instruct the SCG MAC entity to perform partial MAC reset (FFS for the details).

**RAN2 #116bis e*** 1. FFS if UE initializes Bj for each logical channel to zero upon SCG deactivation as a part of partial MAC reset. Should consider e.g. what to do with possible Bj increase while SCG is deactivated.
* 2-1. UE stops (if running) all timers except beamFailureDetectionTimer associated with PSCell and timeAlignmentTimers upon SCG deactivation as a part of partial MAC reset.
* 2-2. If BFD is not configured for deactivated SCG, UE stops (if running) beamFailureDetectionTimer associated with PSCell upon SCG deactivation as a part of partial MAC reset.
* 4. UE resets BFI\_COUNTER associated with PSCell if BFD is not configured for deactivated SCG, upon SCG deactivation as a part of partial MAC reset.
* 5. UE does the following actions upon SCG deactivation as a part of partial MAC reset:
	+ set the NDIs for all uplink HARQ processes to the value 0;
	+ stop, if any, ongoing Random Access procedure;
	+ flush Msg3 buffer;
	+ flush MSGA buffer;
	+ cancel, if any, triggered Scheduling Request procedure;
	+ cancel, if any, triggered Buffer Status Reporting procedure;
	+ cancel, if any, triggered Power Headroom Reporting procedure;
	+ cancel, if any, triggered Configured uplink grant confirmation;
	+ flush the soft buffers for all DL HARQ processes;
	+ for each DL HARQ process, consider the next received transmission for a TB as the very first transmission;
	+ release, if any, Temporary C-RNTI.
* 7. CSI-RS reporting in the deactivated PSCell or for the deactivated PSCell is NOT supported.
* 8. For deactivated PSCell, PHR is not reported.
* 9-2. PHR is triggered upon SCG activation.
* 10. PHR is triggered upon addition of PSCell not configured with deactivated state.
* 3. FFS if UE discards explicitly signalled contention-free Random Access Resources for 4-step RA type and 2-step RA type, if any, upon SCG deactivation as a part of partial MAC reset.
* 6. FFS if the BWP associated with PSCell is NOT deactivated upon SCG deactivation.
* 5: Upon reception of a network SCG activation command, the UE shall perform RACH towards the SCG if any of the following condition is true:
* - reconfigurationWithSync is included in the SCG activation command
* - TA timer for the PSCell is expired
* - RLF is declared
* - BF is declared
* 7: When the UE is configured to perform RLM/BFD when the SCG is deactivated, upon reception of a network activation command not including reconfigurationWithSync while the TA timer associated with the PSCell is running and BF/RLF is not declared, the UE shall activate the SCG without performing RACH towards the SCG.
* 8: No guard timer is introduced for RACH-less SCG activation

**For TRS based SCell activation**1. Define new MAC CE inlcuding both SCell activation and TRS activation with two eLCID for “one octet” SCell activation indication and “four octet” SCell activation indication respectively.
2. include per SCell TRS configuration index in MAC CE.

**RAN2 #117 e**1: Agree UE behaviours for SCG RLF while the SCG is deactivated:a) at SCG RLF, SCG MAC is reset (like in Rel-16, this will stop the TA timer)b) at SCG RLF, stop RLM and BFD (not captured in Rel-16, but probably UEs do that)c) Network can resume RLM and BFD as with legacy S-RLF (e.g. reconfiguration with sync)3: While the SCG is deactivated and the UE is configured to perform RLM/BFD, the UE continues RLM after TA timer expiry.5: If the UE is not configured to perform RLM/BFD while the SCG is deactivated, the UE always performs RACH upon receiving an SCG activation command.2: Agree UE behaviours for PSCell beam failure while the SCG is deactivated:a) at PSCell beam failure, TA timer is not stoppedb) at PSCell beam failure, stop BFDc) resume BFD upon reconfiguration of BFD RS (RadioLinkMonitoringConfig or tci-Info)4: While the SCG is deactivated and the UE is configured to perform RLM/BFD, the UE continues BFD after TA timer expiry.9: Discuss in MAC CR discussion how to model the handling BWP while the SCG is deactivated.10: The PSCell DL BWP used for BFD/RLM/RRM is handled as follows:at SCG deactivation: if the network includes firstActiveDownlinkBWP-Id in the SCG deactivation command, the UE switches the DL BWP to the indicated firstActiveDownlinkBWP-Id- while the SCG is deactivated:- if the network includes firstActiveDownlinkBWP-Id in an RRC reconfiguration, the UE switches the DL BWP to the indicated firstActiveDownlinkBWP-Id- If configured the UE performs RLM/BFD on the DL BWPat SCG activation:- if the network includes firstActiveDownlinkBWP-Id in the SCG activation command, the UE switches the DL BWP to the indicated firstActiveDownlinkBWP-Id- bwp-Id is not needed in tci-Info (since it is controlled by firstActiveDownlinkBWP-Id)UL BWP can be changed by RRC reconfiguration in the same way (but it doesn't impact BFD/RLM/RRM)1: Upon SCG activation, Bj values are zero. How to specify it exactly can be discussed in the CR discussion and in later corrections.2: Whether a clarification is needed for rach-ConfigDedicated can be discussed as part of corrections / ASN.1 review.3: The UE discards explicitly signalled contention-free Random Access Resources for 4-step RA type and 2-step RA type, if any, upon SCG deactivation as a part of partial MAC reset.  |
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| ***Consequences if not approved:*** | SCG activation/deactivation is not supported. |
|  |  |
| ***Clauses affected:*** | 3.2, 5.1.1a, 5.9, 5.X, 5.4.5, 5.4.6, 5.12a, 6.1.3, 6.2.1 |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **x** |  Other core specifications  | TS 38.331 |
| ***affected:*** |  |  |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  |  |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | CR for DCCA based on R2-2203195 (SCG deactivation) and R2-2202252 (fast SCell activation) |

## 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

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

RS Reference Signal

SCG Secondary Cell Group

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

TRS CSI-RS for tracking

UCI Uplink Control Information

V2X Vehicle-to-Everything

ZP CSI-RS Zero Power CSI-RS

### 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 reconfiguration with sync or for SCG activation; 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 reconfiguration with sync or for SCG activation; 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 for reconfiguration with sync or for SCG activation; 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*).

## 5.9 Activation/Deactivation of SCells

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

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

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

- receiving the Enhanced SCell Activation/Deactivation MAC CE described in clause 6.1.3.x;

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

- configuring *sCellState* per configured SCell: if configured, the associated SCell is activated upon SCell configuration.

The MAC entity shall for each configured SCell:

1> if an SCell is configured with *sCellState* set to *activated* upon SCell configuration, or an SCell Activation/Deactivation MAC CE or an Enhanced SCell Activation/Deactivation MAC CE is received activating the SCell:

2> if the SCell was deactivated prior to receiving this Enhanced SCell Activation/Deactivation MAC CE and a TRS is selected for SCell activation:

3> indicate to lower layers the information regarding the TRS.

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

2> if the SCell is configured with *sCellState* set to *activated* upon SCell configuration:

3> if *firstActiveDownlinkBWP-Id* is not set to dormant BWP:

4> activate the SCell according to the timing defined in TS 38.213 [6] for MAC CE activation and according to the timing defined in TS 38.133 [11] for direct SCell activation; i.e. apply normal SCell operation including:

5> SRS transmissions on the SCell;

5> CSI reporting for the SCell;

5> PDCCH monitoring on the SCell;

5> PDCCH monitoring for the SCell;

5> PUCCH transmissions on the SCell, if configured.

3> else (i.e. *firstActiveDownlinkBWP-Id* is set to dormant BWP):

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

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

2> start or restart the *sCellDeactivationTimer* associated with the SCell according to the timing defined in TS 38.213 [6] for MAC CE activation and according to the timing defined in TS 38.133 [11] for direct SCell activation;

2> if the active DL BWP is not the dormant BWP:

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

3> trigger PHR according to clause 5.4.6.

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

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

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

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

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

2> deactivate any active BWP associated with the SCell;

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

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

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

2> flush all HARQ buffers associated with the SCell;

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

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

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

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

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

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

1> if the SCell is deactivated:

2> not transmit SRS on the SCell;

2> not report CSI for the SCell;

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

2> not transmit on RACH on the SCell;

2> not monitor the PDCCH on the SCell;

2> not monitor the PDCCH for the SCell;

2> not transmit PUCCH on the SCell.

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

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

## 5.X Activation/Deactivation of SCG

The network may activate and deactivate the configured SCG. The MAC entity shall for the configured SCG:

1> if upper layers indicate that activation of the SCG:

2> if *BFI\_COUNTER* >= *beamFailureInstanceMaxCount* for the PSCell or the *timeAlignmentTimer* associated with PTAG is not running:

3> indicate to upper layers that a Random Access Procedure (as specified in clause 5.1.1) is needed for SCG activation;

2> else if a Random Access Procedure is not triggered for SCG activation:

3> activate the SCG according to the timing defined in TS 38.133 [11] for direct SCG activation;

2> apply normal SCG operation including

3> SRS transmissions on the PSCell;

3> CSI reporting for the PSCell;

3> PDCCH monitoring on the PSCell;

3> PUCCH transmissions on the PSCell;

3> Perform random access on the PSCell if trigged;

3> initialize Bj for each logical channel associated to SCG to zero.

1> else if upper layers indicate that the SCG is deactivated:

2> deactivate all the SCells of the configured SCG according to clause 5.9;

2> deactivate PSCell according to the timing defined in TS 38.133 [11]:

2> reset MAC according to clause 5.12a:

1> if the PSCell is deactivated

2> not transmit SRS on the PSCell:

2> not report CSI for the PSCell:

2> not transmit on UL-SCH on the PSCell:

2> not transmit PUCCH on the PSCell:

2> not monitor the PDCCH for the PSCell:

2> not trigger random access on the PSCell;

2> not monitor the PDCCH on the PSCell.

Editor note: FFS whether to capture “initiate a Random Access Procedure for beam failure recovery to carry BFR MAC CE” for SCG activation. Editor note: FFS how to capture “Upon SCG activation, Bj values are zero”, i.e., add “initialize Bj for each logical channel associated to SCG to zero” When SCG is activated or say ” Bj are initialized to zero and remain to zero while the SCG is deactivated”.

### 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 for activated cell group:

- 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 on configured grant 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;

- activation of an SCG;

- addition of the PSCell except if the SCG is deactivated (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 on configured grant 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; and

3> for each activated Serving Cell with configured uplink associated with E-UTRA MAC entity:

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

## 5.12a MAC Reset for SCG deactivation

The MAC entity shall:

1> stop (if running) all timers, except beamFailureDetectionTimer associated with PSCell and timeAlignmentTimers if beam failure detection is configured for the deactivated SCG;

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

1> sets the NDIs for all HARQ process IDs to the value 0 for monitoring PDCCH in Sidelink resource allocation mode 1;

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

1> flush Msg3 buffer;

1> flush MSGA buffer;

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

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

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

1> cancel, if any, triggered consistent LBT failure;

1> cancel, if any, triggered BFR;

1> cancel, if any, triggered Recommended bit rate query procedure;

1> cancel, if any, triggered Configured uplink grant confirmation;

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

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

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

1> resets BFI\_COUNTER associated with PSCell if BFD is not configured for SCG with *bfd-and-RLM*;

1> reset *all LBT\_COUNTERs*;

1> discard explicitly signalled contention-free Random Access Resources for 4-step RA type and 2-step RA type, if any.

Editor note: FFS if add new section as MAC reset for SCG deactivation or change the existing MAC reset section for SCG deactivation

### 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 except for deactivated SCG 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. Upon RRC (re-)configuration of *firstActiveDownlinkBWP-Id* for deactivated PSCell, the DL BWP is switched to the *firstActiveDownlinkBWP-Id* if beam failure detection is configured for the deactivated SCG.The active BWP for a Serving Cell is indicated by either RRC or PDCCH (as specified in TS 38.213 [6]). For unpaired spectrum, a DL BWP is paired with a UL BWP, and BWP switching is common for both UL and DL.

For each 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.

## 5.17 Beam Failure Detection and Recovery procedure

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

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

- *beamFailureInstanceMaxCount* for the beam failure detection;

- *beamFailureDetectionTimer* for the beam failure detection;

- *beamFailureRecoveryTimer* for the beam failure recovery procedure;

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

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

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

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

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

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

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

- *ssb-perRACH-Occasion*: *ssb-perRACH-Occasion* for the SpCell beam failure recovery using contention-free Random Access Resources;

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

- *prach-ConfigurationIndex*: *prach-ConfigurationIndex* for the SpCell beam failure recovery using contention-free Random Access Resources;

- *ra-ssb-OccasionMaskIndex*: *ra-ssb-OccasionMaskIndex* for the SpCell beam failure recovery using contention-free Random Access Resources;

- *ra-OccasionList*: *ra-OccasionList* for the SpCell beam failure recovery using contention-free Random Access Resources;

- *candidateBeamRSList*: list of candidate beams for SpCell beam failure recovery;

- *candidateBeamRSSCellList*: list of candidate beams for SCell beam failure recovery.

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

- *BFI\_COUNTER* (per Serving Cell): counter for beam failure instance indication which is initially set to 0.

The MAC entity shall for each Serving Cell configured for beam failure detection:

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

2> start or restart the *beamFailureDetectionTimer*;

2> increment *BFI\_COUNTER* by 1;

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

3> if the Serving Cell is SCell:

4> trigger a BFR for this Serving Cell;

3> else if the Serving Cell is PSCell, the SCG is deactivated and beam failure of the PSCell was not indicated to upper layers since the SCG was deactivated:

4> indicate beam failure of the PSCell to upper layers;

3> else4> initiate a Random Access procedure (see clause 5.1) on the SpCell.

1> if the *beamFailureDetectionTimer* expires; or

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

2> set *BFI\_COUNTER* to 0.

1> if the Serving Cell is SpCell and the Random Access procedure initiated for SpCell beam failure recovery is successfully completed (see clause 5.1):

2> set *BFI\_COUNTER* to 0;

2> stop the *beamFailureRecoveryTimer*, if configured;

2> consider the Beam Failure Recovery procedure successfully completed.

1> else if the Serving Cell is SCell, and a PDCCH addressed to C-RNTI indicating uplink grant for a new transmission is received for the HARQ process used for the transmission of the BFR MAC CE or Truncated BFR MAC CE which contains beam failure recovery information of this Serving Cell; or

1> if the SCell is deactivated as specified in clause 5.9:

2> set *BFI\_COUNTER* to 0;

2> consider the Beam Failure Recovery procedure successfully completed and cancel all the triggered BFRs for this Serving Cell.

The MAC entity shall:

1> if the Beam Failure Recovery procedure determines that at least one BFR has been triggered and not cancelled for an SCell for which evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed:

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

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

2> else if UL-SCH resources are available for a new transmission and if the UL-SCH resources can accommodate the Truncated BFR MAC CE plus its subheader as a result of LCP:

3> instruct the Multiplexing and Assembly procedure to generate the Truncated BFR MAC CE.

2> else:

3> trigger the SR for SCell beam failure recovery for each SCell for which BFR has been triggered, not cancelled, and for which evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed.

All BFRs triggered for an SCell shall be cancelled when a MAC PDU is transmitted and this PDU includes a BFR MAC CE or Truncated BFR MAC CE which contains beam failure information of that SCell.

#### 6.1.3.x Enhanced SCell Activation/Deactivation MAC CEs

The Enhanced SCell Activation/Deactivation MAC CE with one octet Ci field is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size and consists of seven C-fields, one R-field and several TRS ID fields. The Enhanced SCell Activation/Deactivation MAC CE of with one octet Ci field is defined as follows (Figure 6.1.3.x-1).

The Enhanced SCell Activation/Deactivation MAC CE with four octet Ci field is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size and consists of 31 C-fields, one R-field and several TRS ID fields. The Enhanced SCell Activation/Deactivation MAC CE with four octet Ci field is defined as follows (Figure 6.1.3.x-2).

- Ci: If there is an SCell configured for the MAC entity with *SCellIndex* i as specified in TS 38.331 [5], this field indicates the activation/deactivation status of the SCell with *SCellIndex* i, else the MAC entity shall ignore the Ci field. The Ci field is set to 1 to indicate that the SCell with *SCellIndex* i shall be activated and that a TRS IDj field is included for the SCell. The Ci field is set to 0 to indicate that the SCell with *SCellIndex* i shall be deactivated and that no TRS ID field is included for this SCell;

- TRS IDj: TRS IDj corresponds to the i-th SCell that shall be activated according to Ci in ascending order of *SCellIndex* of the SCell and corresponding Ci is set to 1. If TRS configuration id in TRS IDj is set to a non-zero value, it indicates the corresponding TRS address by *scellActivationRS-Id* as specified in TS 38.331 [5] is activated. If TRS configuration id in TRS IDj is set to zero, it indicates that no TRS is used for the corresponding SCell;

- R: Reserved bit, set to 0.



Figure 6.1.3.x-1: Enhanced SCell Activation/Deactivation MAC CE with one octet Ci field

 

Figure 6.1.3.x-2: Enhanced SCell Activation/Deactivation MAC CE with four octet Ci field

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

The MAC subheader consists of the following fields:

- LCID: The Logical Channel ID field identifies the logical channel instance of the corresponding MAC SDU or the type of the corresponding MAC CE or padding as described in Tables 6.2.1-1 and 6.2.1-2 for the DL-SCH and UL-SCH respectively. There is one LCID field per MAC subheader. The size of the LCID field is 6 bits. If the LCID field is set to 34, one additional octet is present in the MAC subheader containing the eLCID field and follow the octet containing LCID field. If the LCID field is set to 33, two additional octets are present in the MAC subheader containing the eLCID field and these two additional octets follow the octet containing LCID field;

- eLCID: The extended Logical Channel ID field identifies the logical channel instance of the corresponding MAC SDU or the type of the corresponding MAC CE as described in tables 6.2.1-1a, 6.2.1-1b, 6.2.1-2a and 6.2.1-2b for the DL-SCH and UL-SCH respectively. The size of the eLCID field is either 8 bits or 16 bits.

NOTE: The extended Logical Channel ID space using two-octet eLCID and the relevant MAC subheader format is used, only when configured, on the NR backhaul links between IAB nodes or between IAB node and IAB Donor.

- L: The Length field indicates the length of the corresponding MAC SDU or variable-sized MAC CE in bytes. There is one L field per MAC subheader except for subheaders corresponding to fixed-sized MAC CEs, padding, and MAC SDUs containing UL CCCH. The size of the L field is indicated by the F field;

- F: The Format field indicates the size of the Length field. There is one F field per MAC subheader except for subheaders corresponding to fixed-sized MAC Ces, padding, and MAC SDUs containing UL CCCH. The size of the F field is 1 bit. The value 0 indicates 8 bits of the Length field. The value 1 indicates 16 bits of the Length field;

- R: Reserved bit, set to 0.

The MAC subheader is octet aligned.

Table 6.2.1-1 Values of LCID for DL-SCH

|  |  |
| --- | --- |
| Codepoint/Index | LCID values |
| 0 | CCCH |
| 1–32 | Identity of the logical channel |
| 33 | Extended logical channel ID field (two-octet eLCID field) |
| 34 | Extended logical channel ID field (one-octet eLCID field) |
| 35–46 | Reserved |
| 47 | Recommended bit rate |
| 48 | SP ZP CSI-RS Resource Set Activation/Deactivation |
| 49 | PUCCH spatial relation Activation/Deactivation |
| 50 | SP SRS Activation/Deactivation  |
| 51 | SP CSI reporting on PUCCH Activation/Deactivation |
| 52 | TCI State Indication for UE-specific PDCCH |
| 53 | TCI States Activation/Deactivation for UE-specific PDSCH |
| 54 | Aperiodic CSI Trigger State Subselection |
| 55 | SP CSI-RS/CSI-IM Resource Set Activation/Deactivation |
| 56 | Duplication Activation/Deactivation |
| 57 | SCell Activation/Deactivation (four octets) |
| 58 | SCell Activation/Deactivation (one octet) |
| 59 | Long DRX Command |
| 60 | DRX Command |
| 61 | Timing Advance Command |
| 62 | UE Contention Resolution Identity |
| 63 | Padding |

Table 6.2.1-1a Values of two-octet eLCID for DL-SCH

|  |  |  |
| --- | --- | --- |
| Codepoint | Index | LCID values |
| 0 to (216 – 1) | 320 to (216 + 319) | Identity of the logical channel |

Table 6.2.1-1b Values of one-octet eLCID for DL-SCH

|  |  |  |
| --- | --- | --- |
| Codepoint | Index | LCID values |
| 0 to 242 | 64 to 306 | Reserved |
| 243 | 307 | Enhanced SCell Activation/Deactivation MAC CE with one octet Ci field |
| 244 | 308 | Enhanced SCell Activation/Deactivation MAC CE with four octet Ci field  |
| 245 | 309 | Serving Cell Set based SRS Spatial Relation Indication |
| 246 | 310 | PUSCH Pathloss Reference RS Update |
| 247 | 311 | SRS Pathloss Reference RS Update |
| 248 | 312 | Enhanced SP/AP SRS Spatial Relation Indication |
| 249 | 313 | Enhanced PUCCH Spatial Relation Activation/Deactivation |
| 250 | 314 | Enhanced TCI States Activation/Deactivation for UE-specific PDSCH |
| 251 | 315 | Duplication RLC Activation/Deactivation |
| 252 | 316 | Absolute Timing Advance Command |
| 253 | 317 | SP Positioning SRS Activation/Deactivation |
| 254 | 318 | Provided Guard Symbols |
| 255 | 319 | Timing Delta |