**3GPP TSG-RAN WG2 Meeting #111 Electronic *R2-2008650***

**Elbonia, 17 – 28 August 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **38.321** | **CR** | **0882** | **rev** | **1** | **Current version:** | **16.1.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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| ***Title:***  | Corrections for NR operating with shared spectrum channel access |
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| ***Source to WG:*** | Nokia, Nokia Shanghai Bell, ASUSTek, Ericsson, LG, Huawei, ZTE |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | NR\_unlic-Core |  | ***Date:*** | 2020-08 |
|  |  |  |  |  |
| ***Category:*** | **Cat F** |  | ***Release:*** | Rel-16 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
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| ***Reason for change:*** | Catpures the agreed corrections from RAN2 #111-e for NR-U MAC:1. The NOTE on semi-static channel access mode was added only for 4-step RA but not for 2-step RA. The NOTE in MAC is redundant and does not align with the wording in 38.213. It is clear in 38.213 which is referred to in MAC, so the NOTE can be removed.
2. For new transmission on a CG, HARQ process is always ‘not pending’. Thus, it is not necessary to change the HARQ process from ‘not pending’ to ‘not pending’. Note that for retransmission on a CG, only the change from ‘pending’ to ‘not pending’ is stated and change of ‘pending’ to ‘pending’ and ‘not pending’ to ‘not pending’ are omitted. (R2-2007883)
3. “if configured” is missed for one of the occaions for “start or restart the configuredGrantTimer” in 5.4.2.1.
4. Current bundling description in 5.4.2.1 refers to “initial transmission” withing a bundle which is misleading since it is usually used for new transmission, while the case of the whole bundle are retransmissions should be covered as well. And it is incorrect to say “Each transmission within a bundle is a separate uplink grant after the initial uplink grant within a bundle is delivered to the HARQ entity.” since the first trnasmission is also delivered as a separte UL grant. (R2-2006658)
5. When *configuredGrantTimer* or *cg-RetransmissionTimer* is started or restarted by a PUSCH transmission, it is not clear if it is started at the beginning of the first symbol of transmission or at the end of the last symbol of the transmission.
6. In 5.4.2.2, the statement of “When cg-RetransmissionTimer is configured and the HARQ entity obtains a MAC PDU to transmit, the corresponding HARQ process is considered to be pending.” is not align with the procedure part which depends on LBT failure indication. (R2-2007169)
7. In LTE, it has been agreed and specified that drx-ULRetransmissionTimer for the corresponding HARQ process(es) is stopped if UL HARQ-ACK feedback carried in DCI is received. In NR-U, if a HARQ process receives downlink feedback information indicating ACK, only configuredGrantTimer and cg-RetransmissionTimer for the corresponding HARQ process are stopped. In this case, since the UL data has been acknowledged by network, the corresponding drx-RetransmissionTimerUL should be also stopped (same as LTE) to avoid unnecessary UE power consumption on PDCCH monitoring for a never coming retransmission. (R2-2007892)
8. MAC spec assumes only one uplink grant occassion occurs within a configured grant period and only one TB is to be transmitted within a configured grant period. However for NR-U, the cg-nrofPUSCH-InSlot-r16 and cg-nrofSlots-r16 are introduced to support multiple CG occasions within a configured grant period, as specified in 38.214 section 6.1.2.3. Those configured grant occasions are missing in MAC. (R2-2007819)
9. LBT\_COUNTER is maintained per serving cell and when MAC is reset all LBT\_COUNTERs shall be reset, but currently it is specified that LBT-COUNTER is reset and this is misleading. (R2-2007453)
10. In 5.15.1, “2> if consistent LBT failure recovery is configured:” should refer to the RRC parameter. (R2-2007883)
11. It is not consistent on what LBT failure triggers are cancelled. Some places refer to the triggered LBT filure. (R2-2007188)
12. The consistent LBT failure in PSCell may be reported by LBT failure MAC CE. So, the ServCellIndex of the MAC entity’s PSCell may also be included in the servCellIndex. Currently only the SCells are considered. So, this needs to be clarified. (R2-2007453)
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| ***Summary of change:*** | 1. Remove the NOTE for 4-step RA: “NOTE 2: For a UE operating in a semi-static channel access mode as described in TS 37.213 [18], Random Access Resources overlapping with the idle time of a fixed frame period are not considered for selection.” in 5.1.2.
2. In 5.4.2.1, remove condition to change HARQ process state from ‘not pending’ to ‘not pending’.
3. Add “if configured” to the missed occaions for “start or restart the configuredGrantTimer” in 5.4.2.1.
4. Modify “initial transmssion” to “first transmission within a bundle” and remove “after the initial uplink grant within a bundle is” in 5.4.2.1.
5. Add a clarification that “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.” in 5.4.2.1.
6. In 5.4.2.2, “and LBT failure indication is received from lower layer,” is added to the statement about pending process.
7. In 5.7, add if a HARQ process receives downlink feedback information indicating ACK, stop the drx-RetransmissionTimerUL for the corresponding HARQ process.
8. Add “If cg-nrofPUSCH-InSlot and cg-nrofSlots are configured for a configured grant Type 1 or Type 2, the MAC entity shall consider the uplink grant occurs in those additional PUSCH allocations as specified in clause 6.1.2.3 of TS 38.214 [7].” to 5.8.2.
9. In section 5.12, LBT\_COUNTER is changed to all LBT\_COUNTERs.
10. RRC parameter is used to check whether the UE is configured to trigger consistent LBT failure recovery procedure or not.
11. “all the triggered consistent LBT failure(s)” is used in 5.21.2 and 5.4.4.
12. In section 6.1.3.30, SCell is changed to Serving Cell for the single Octet format case.

**Impact analysis**Impacted functionality: RACH, Configured Grant, HARQ operation, DRX, LBT failure.Inter-operability: 1. If the network is implemented according to the CR and the UE is not, no interoperability issue.
2. If the UE is implemented according to the CR and the network is not, no interoperability issue except the 5th change on DRX as the network might schedule the UE when the UE is not monitoring PDCCH.
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| ***Consequences if not approved:*** | Misaligment in the specifications; Broken CG operation in for NR operating in shared spectrum; The UE unnecessary monitors PDCCH. |
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| ***Clauses affected:*** | 5.1.2; 5.4.2.1; 5.4.2.2; 5.4.4; 5.7; 5.8.2; 5.12; 5.15.1; 5.21.2; 6.1.3.30 |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **X** |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
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| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | Revision of R2-2008372 |

*First Modified Subclause*

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 header and, where required, MAC CEs) is greater than *ra-Msg3SizeGroupA* and the pathloss is less than *PCMAX* (of the Serving Cell performing the Random Access Procedure) – *preambleReceivedTargetPower* – *msg3-DeltaPreamble* – *messagePowerOffsetGroupB*; or

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

5> select the Random Access Preambles group B.

4> else:

5> select the Random Access Preambles group A.

3> else:

4> select the Random Access Preambles group A.

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

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

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

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

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

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

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

1> else if an SSB is selected above:

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

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

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

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

2> else:

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

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

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

*Next Modified Subclause*

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 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, *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. 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 de-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 a transmission of the obtained MAC PDU has not been 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.

*Next Modified Subclause*

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. 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 5.22.1.3.1 nor the transmissions of V2X sidelink communication is prioritized as described in clause 5.4.2.2 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 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 both the transmission of NR sidelink communication which is prioritized as described in clause 5.22.1.3.1 and the transmissions of V2X sidelink communication which are prioritized as described in clause 5.14.1.2.2 of TS 36.321 [22]; 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 5.4.2.2 of TS 36.321 [22] or the MAC entity is able to perform this UL transmission simultaneously with the transmissions of V2X sidelink communication which are prioritized as described in clause 5.14.1.2.2 of TS 36.321 [22]; or

- if there is only a sidelink grant for transmission of NR sidelink communication at the time of the transmission, and if the transmission of NR sidelink communication is not prioritized as described in clause 5.22.1.3.1, 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 which is prioritized as described in clause 5.22.1.3.1:

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.

*Next Modified Subclause*

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 (see clause 5.21), at most one PUCCH resource for SR is configured per BWP.

Each SR configuration corresponds to one or more logical channels and/or to SCell beam failure recovery and/or to consistent LBT failure. Each logical channel, SCell beam failure recovery, and consistent LBT failure, may be mapped to zero or one SR configuration, which is configured by RRC. The SR configuration of the logical channel that triggered a BSR (clause 5.4.5) or the SCell beam failure recovery or the consistent LBT failure (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).

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.

Except for SCell beam failure recovery, 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. Except for SCell beam failure recovery, 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. All pending SR(s) for Pre-emptive BSR triggered according to the Pre-emptive BSR procedure (clause 5.4.7) prior to the MAC PDU assembly shall be cancelled and each respective *sr-ProhibitTimer* shall be stopped when a MAC PDU containing the relevant Pre-emptive BSR MAC CE is transmitted. Pending SR triggered prior to the MAC PDU assembly for beam failure recovery of an SCell shall be cancelled and respective *sr-ProhibitTimer* shall be stopped when the MAC PDU is transmitted and this PDU includes an BFR MAC CE or Truncated BFR MAC CE which contains beam failure recovery information of that SCell. Pending SR triggered for beam failure recovery of an SCell shall be cancelled upon deactivation of that SCell (as defined in clause 5.9).

The MAC entity shall for each pending SR triggered by consistent LBT failure for a Serving Cell:

1> if a MAC PDU is transmitted and the MAC PDU includes an LBT failure MAC CE that indicates consistent LBT failure for the Serving Cell that triggered this SR; or

1> if all the triggered consistent LBT failure(s) for that Serving Cell that triggered this SR are cancelled (see clause 5.21):

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 an uplink grant received in a Random Access Response nor with a transmission of MSGA payload, and the PUCCH resource for the SR transmission occasion for the pending SR triggered as specfied in clause 5.4.5 overlaps with any other UL-SCH resource(s), 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 the PUCCH resource for the SR transmission occasion for the pending SR triggered as specfied in clause 5.22.1.5 overlaps with any UL-SCH resource(s) carrying a MAC PDU, and 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*, 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 specfied 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 5.22.1.3.1 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 specfied 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 5.22.1.3.1 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 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 idle time of a fixed frame period are not considered valid.

The MAC entity may stop, if any, ongoing Random Access procedure due to a pending SR for BSR and BFR which has no valid PUCCH resources configured, which was initiated by MAC entity prior to the MAC PDU assembly. The ongoing Random Access procedure due to a pending SR for BSR may be stopped when the MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in 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 when the UL grant(s) can accommodate all pending data available for transmission. The ongoing Random Access procedure due to a pending SR for BFR of an SCell may be stopped when the MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload and this PDU contains an BFR MAC CE or Truncated BFR MAC CE which includes beam failure recovery information of that SCell. Upon deactivation of SCell (as specified in clause 5.9) configured with beam failure detection the ongoing Random Access procedure due to a pending SR for BFR may be stopped if 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, which has no valid PUCCH resources configured, if:

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

- 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.

*Next Modified Subclause*

5.7 Discontinuous Reception (DRX)

The MAC entity may be configured by RRC with a DRX functionality that controls the UE's PDCCH monitoring activity for the MAC entity's C-RNTI, CI-RNTI, CS-RNTI, INT-RNTI, SFI-RNTI, SP-CSI-RNTI, TPC-PUCCH-RNTI, TPC-PUSCH-RNTI, TPC-SRS-RNTI, and AI-RNTI. When using DRX operation, the MAC entity shall also monitor PDCCH according to requirements found in other clauses of this specification. When in RRC\_CONNECTED, if DRX is configured, for all the activated Serving Cells, the MAC entity may monitor the PDCCH discontinuously using the DRX operation specified in this clause; otherwise the MAC entity shall monitor the PDCCH as specified in TS 38.213 [6].

NOTE 1: If Sidelink resource allocation mode 1 is configured by RRC, a DRX functionality is not configured.

RRC controls DRX operation by configuring the following parameters:

- *drx-onDurationTimer*: the duration at the beginning of a DRX Cycle;

- *drx-SlotOffset*: the delay before starting the *drx-onDurationTimer*;

- *drx-InactivityTimer*: the duration after the PDCCH occasion in which a PDCCH indicates a new UL or DL transmission for the MAC entity;

- *drx-RetransmissionTimerDL* (per DL HARQ process except for the broadcast process): the maximum duration until a DL retransmission is received;

- *drx-RetransmissionTimerUL* (per UL HARQ process): the maximum duration until a grant for UL retransmission is received;

- *drx-LongCycleStartOffset*: the Long DRX cycle and *drx-StartOffset* which defines the subframe where the Long and Short DRX Cycle starts;

- *drx-ShortCycle* (optional): the Short DRX cycle;

- *drx-ShortCycleTimer* (optional): the duration the UE shall follow the Short DRX cycle;

- *drx-HARQ-RTT-TimerDL* (per DL HARQ process except for the broadcast process): the minimum duration before a DL assignment for HARQ retransmission is expected by the MAC entity;

- *drx-HARQ-RTT-TimerUL* (per UL HARQ process): the minimum duration before a UL HARQ retransmission grant is expected by the MAC entity;

- *ps-Wakeup* (optional): the configuration to start associated *drx-onDurationTimer* in case DCP is monitored but not detected;

- *ps-TransmitOtherPeriodicCSI* (optional): the configuration to report periodic CSI that is not L1-RSRP on PUCCH during the time duration indicated by *drx-onDurationTimer* in case DCP is configured but associated *drx-onDurationTimer* is not started;

- *ps-TransmitPeriodicL1-RSRP* (optional): the configuration to transmit periodic CSI that is L1-RSRP on PUCCH during the time duration indicated by *drx-onDurationTimer* in case DCP is configured but associated *drx-onDurationTimer* is not started.

Serving Cells may be configured by RRC in two groups. When RRC does not configure a secondary DRX group, there is only one DRX group. When two DRX groups are configured each group of Serving Cells, which is called a DRX group, is configured by RRC with its own set of parameters: *drx-onDurationTimer*, *drx-InactivityTimer*. When two DRX groups are configured, the two groups share the following parameter values: *drx-SlotOffset*, *drx-RetransmissionTimerDL*, *drx-RetransmissionTimerUL*, *drx-LongCycleStartOffset*, *drx-ShortCycle* (optional), *drx-ShortCycleTimer* (optional), *drx-HARQ-RTT-TimerDL*, and *drx-HARQ-RTT-TimerUL*.

When a DRX cycle is configured, the Active Time for Serving Cells in a DRX group includes the time while:

- *drx-onDurationTimer* or *drx-InactivityTimer* configured for the DRX group is running; or

- *drx-RetransmissionTimerDL* or *drx-RetransmissionTimerUL* is running on any Serving Cell in the DRX group; or

- *ra-ContentionResolutionTimer* (as described in clause 5.1.5) or *msgB-ResponseWindow* (as described in clause 5.1.4a) is running; or

- a Scheduling Request is sent on PUCCH and is pending (as described in clause 5.4.4); or

- a PDCCH indicating a new transmission addressed to the C-RNTI of the MAC entity has not been received after successful reception of a Random Access Response for the Random Access Preamble not selected by the MAC entity among the contention-based Random Access Preamble (as described in clauses 5.1.4 and 5.1.4a).

When DRX is configured, the MAC entity shall:

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

2> start the *drx-HARQ-RTT-TimerDL* for the corresponding HARQ process in the first symbol after the end of the corresponding transmission carrying the DL HARQ feedback;

2> stop the *drx-RetransmissionTimerDL* for the corresponding HARQ process.

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

2> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first repetition of the corresponding PUSCH transmission;

2> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process.

1> if a *drx-HARQ-RTT-TimerDL* expires:

2> if the data of the corresponding HARQ process was not successfully decoded:

3> start the *drx-RetransmissionTimerDL* for the corresponding HARQ process in the first symbol after the expiry of *drx-HARQ-RTT-TimerDL*.

1> if a *drx-HARQ-RTT-TimerUL* expires:

2> start the *drx-RetransmissionTimerUL* for the corresponding HARQ process in the first symbol after the expiry of *drx-HARQ-RTT-TimerUL*.

For each DRX group, the MAC entity shall:

1> if a DRX Command MAC CE or a Long DRX Command MAC CE is received:

2> stop *drx-onDurationTimer*;

2> stop *drx-InactivityTimer*.

1> if *drx-InactivityTimer* for this DRX Group expires:

2> if the Short DRX cycle is configured:

3> start or restart *drx-ShortCycleTimer* for this DRX Group in the first symbol after the expiry of *drx-InactivityTimer*;

3> use the Short DRX Cycle for this DRX group.

2> else:

3> use the Long DRX cycle for this DRX group.

1> if a DRX Command MAC CE is received:

2> if the Short DRX cycle is configured:

3> start or restart *drx-ShortCycleTimer* for this DRX Group in the first symbol after the end of DRX Command MAC CE reception;

3> use the Short DRX Cycle for both DRX groups.

2> else:

3> use the Long DRX cycle for both DRX groups.

1> if *drx-ShortCycleTimer* for this DRX Group expires:

2> use the Long DRX for this DRX Group cycle.

1> if a Long DRX Command MAC CE is received:

2> stop *drx-ShortCycleTimer* for both DRX groups;

2> use the Long DRX cycle for both DRX groups.

1> if the Short DRX Cycle is used, and [(SFN × 10) + subframe number] modulo (*drx-ShortCycle*) = (*drx-StartOffset*) modulo (*drx-ShortCycle*):

2> start *drx-onDurationTimer* after *drx-SlotOffset* from the beginning of the subframe.

1> if the Long DRX Cycle is used, and [(SFN × 10) + subframe number] modulo (*drx-LongCycle*) = *drx-StartOffset*:

2> if DCP monitoring is configured for the active DL BWP as specified in TS 38.213 [6], clause 10.3:

3> if DCP indication associated with the current DRX Cycle received from lower layer indicated to start *drx-onDurationTimer*, as specified in TS 38.213 [6]; or

3> if all DCP occasion(s) in time domain, as specified in TS 38.213 [6], associated with the current DRX Cycle occurred in Active Time considering grants/assignments/DRX Command MAC CE/Long DRX Command MAC CE received and Scheduling Request sent until 4 ms prior to start of the last DCP occasion, or within BWP switching interruption length, or during a measurement gap; or

3> if *ps-Wakeup* is configured with value *true* and DCP indication associated with the current DRX Cycle has not been received from lower layers:

4> start *drx-onDurationTimer* after *drx-SlotOffset* from the beginning of the subframe.

2> else:

3> start *drx-onDurationTimer* after *drx-SlotOffset* from the beginning of the subframe.

NOTE 2: In case of unaligned SFN across carriers in a cell group, the SFN of the SpCell is used to calculate the DRX duration.

1> if the DRX group is in Active Time:

2> monitor the PDCCH on the Serving Cells in this DRX group as specified in TS 38.213 [6];

2> if the PDCCH indicates a DL transmission:

3> start the *drx-HARQ-RTT-TimerDL* for the corresponding HARQ process in the first symbol after the end of the corresponding transmission carrying the DL HARQ feedback;

NOTE 3: When HARQ feedback is postponed by PDSCH-to-HARQ\_feedback timing indicating a non-numerical k1 value, as specified in TS 38.213 [6], the corresponding transmission opportunity to send the DL HARQ feedback is indicated in a later PDCCH requesting the HARQ-ACK feedback.

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

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

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

2> if the PDCCH indicates a UL transmission:

3> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first repetition of the corresponding PUSCH transmission;

3> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process.

2> if the PDCCH indicates a new transmission (DL or UL) on a Serving Cell in this DRX group:

3> start or restart *drx-InactivityTimer* for this DRX group in the first symbol after the end of the PDCCH reception.

2> if a HARQ process receives downlink feedback information and acknowledgement is indicated:

3> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process.

1> if DCP monitoring is configured for the active DL BWP as specified in TS 38.213 [6], clause 10.3; and

1> if the current symbol n occurs within *drx-onDurationTimer* duration; and

1> if *drx-onDurationTimer* associated with the current DRX cycle is not started as specified in this clause:

2> if the MAC entity would not be in Active Time considering grants/assignments/DRX Command MAC CE/Long DRX Command MAC CE received and Scheduling Request sent until 4 ms prior to symbol n when evaluating all DRX Active Time conditions as specified in this clause:

3> not transmit periodic SRS and semi-persistent SRS defined in TS 38.214 [7];

3> not report semi-persistent CSI configured on PUSCH;

3> if *ps-TransmitPeriodicL1-RSRP* is not configured with value *true*:

4> not report periodic CSI that is L1-RSRP on PUCCH.

3> if *ps-TransmitOtherPeriodicCSI* is not configured with value *true*:

4> not report periodic CSI that is not L1-RSRP on PUCCH.

1> else:

2> in current symbol n, if the DRX group would not be in Active Time considering grants/assignments scheduled on Serving Cell(s) in this DRX Group and DRX Command MAC CE/Long DRX Command MAC CE received and Scheduling Request sent until 4 ms prior to symbol n when evaluating all DRX Active Time conditions as specified in this clause:

3> not transmit periodic SRS and semi-persistent SRS defined in TS 38.214 [7] in this DRX group;

3> not report CSI on PUCCH and semi-persistent CSI configured on PUSCH in this DRX group.

2> if CSI masking (*csi-Mask*) is setup by upper layers:

3> in current symbol n, if *drx-onDurationTimer* of the DRX group would not be running considering grants/assignments scheduled on Serving Cell(s) in this DRX Group and DRX Command MAC CE/Long DRX Command MAC CE received until 4 ms prior to symbol n when evaluating all DRX Active Time conditions as specified in this clause; and

4> not report CSI on this PUCCH.

NOTE 4: If a UE multiplexes a CSI configured on PUCCH with other overlapping UCI(s) according to the procedure specified in TS 38.213 [6] clause 9.2.5 and this CSI multiplexed with other UCI(s) would be reported on a PUCCH resource outside DRX Active Time of the DRX Group in which this PUCCH is configured, it is up to UE implementation whether to report this CSI multiplexed with other UCI(s).

Regardless of whether the MAC entity is monitoring PDCCH or not on the Serving Cells in this DRX group, the MAC entity transmits HARQ feedback, aperiodic CSI on PUSCH, and aperiodic SRS defined in TS 38.214 [7] on the Serving Cells in this DRX group when such is expected.

The MAC entity needs not to monitor the PDCCH if it is not a complete PDCCH occasion (e.g. the Active Time starts or ends in the middle of a PDCCH occasion).

*Next Modified Subclause*

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 per Serving Cell and 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.

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

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

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

- *timeDomainOffset*: Offset of a resource with respect to SFN = *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 Serving Cell by upper layers, the MAC entity shall:

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

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

After an uplink grant is configured for a configured grant Type 1, the MAC entity shall consider 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 the MAC entity is configured with *configuredGrantConfigList*:

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 the triggered configured uplink grant confirmation.

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.

*Next Modified Subclause*

5.12 MAC Reset

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

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

1> stop (if running) all timers;

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

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

1> 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 RACH procedure;

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

1> flush Msg3 buffer;

1> flush MSGA buffer;

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

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

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

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

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

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

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

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

1> reset all *BFI\_COUNTER*s;

1> reset all *LBT\_COUNTER*s.

If a Sidelink specific reset of the MAC entity is requested for a PC5-RRC connection by upper layers, the MAC entity shall:

1> flush the soft buffers for all Sidelink processes for all TB(s) associated to the PC5-RRC connection;

1> cancel, if any, triggered Scheduling Request procedure only associated to the PC5-RRC connection;

1> cancel, if any, triggered Sidelink Buffer Status Reporting procedure only associated to the PC5-RRC connection.

*Next Modified Subclause*

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.

For each SCell a dormant BWP may be configured with *dormantDownlinkBWP-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 *dormantDownlinkBWP-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> perform periodic or semi-persistent CSI measurement for the BWP, if configured;

2> not transmit SRS on the BWP;

2> not transmit on UL-SCH 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 *dormantDownlinkBWP-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 *dormantDownlinkBWP-Id* if configured:

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

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

2> if a MAC PDU is transmitted in a configured uplink grant 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 *dormantDownlinkBWP-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 *dormantDownlinkBWP-Id* if configured:

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

*Next Modified Subclause*

5.21.2 LBT failure detection and recovery procedure

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

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

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

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

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

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

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

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

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

2> increment *LBT\_COUNTER* by 1;

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

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

3> if this Serving Cell is the SpCell:

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

5> indicate consistent LBT failure to upper layers.

4> else:

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

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

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

1> if all triggered consistent LBT failures are cancelled in this Serving Cell; or

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

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

2> set *LBT\_COUNTER* to 0.

The MAC entity shall:

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

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

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

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

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

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

2> else:

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

1> if a MAC PDU is transmitted and LBT failure indication is not received from lower layers and this PDU includes the LBT failure MAC CE:

2> cancel all the triggered consistent LBT failure(s) in SCell(s) for which consistent LBT failure was indicated in the transmitted LBT failure MAC CE.

1> if consistent LBT failure is triggered and not cancelled in the SpCell; and

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

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

1> if *lbt-FailureRecoveryConfig* is reconfigured by upper layers for a Serving Cell:

2> cancel all the triggered consistent LBT failure(s) in this Serving Cell.

*Next Modified Subclause*

6.1.3.30 LBT failure MAC CEs

The LBT failure MAC CE of one octet is identified by a MAC subheader with LCID as specified in Table 6.2.1-2. It has a fixed size and consists of a single octet containing 8 C-fields as follows (Figure 6.1.3.30-1).

The LBT failure MAC CE of four octets is identified by a MAC subheader with LCID as specified in Table 6.2.1-2. It has a fixed size and consists of four octets containing 32 C-fields as follows (Figure 6.1.3.30-2).

A single octet format is used when the highest *ServCellIndex* of this MAC entity's Serving Cell for which LBT failure is detected is less than 8, otherwise four octets format is used.

- Ci: If there is a Serving Cell configured for the MAC entity with *ServCellIndex* i as specified in TS 38.331 [5] and if consistent LBT failure have been triggered and not cancelled in this Serving Cell, the field is set to 1, otherwise the field is set to 0.

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**Figure 6.1.3.30-1: LBT failure MAC CE of one octet**

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**Figure 6.1.3.30-2: LBT failure MAC CE of four octets**

*End of the modifications*