**3GPP TSG RAN2 Meeting #116-e *R2-21xxxxx***

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

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| *CR-Form-v12.1* |
| **CHANGE REQUEST** |
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|  | **38.321** | **CR** | **Draft** | **rev** |  | **Current version:** | **16.6.0** |  |
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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:***  | MAC Running CR for Rel-17 IIoT/URLLC |
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| ***Source to WG:*** | Samsung |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | NR\_IIOT\_URLLC\_enh |  | ***Date:*** | 2021-11-01 |
|  |  |  |  |  |
| ***Category:*** | **B** |  | ***Release:*** | Rel-17 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)…Rel-15 (Release 15)Rel-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)* |
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| ***Reason for change:*** | RAN2 agreements with MAC impacts for IIoT/URLLC should be captured. |
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| ***Summary of change:*** | RAN2 agreements up to RAN2#115-e are captured.  |
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| ***Consequences if not approved:*** | New MAC functions for Rel-17 IIoT/URLLC are not supported. |
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| ***Clauses affected:*** | 5.4.1, 5.4.4, 5.8.2 |
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|  | **Y** | **N** |  |  |
| ***Other specs*** | **X** |  |  Other core specifications  | TS/TR ... CR ...to be updated  |
| ***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:*** |  |

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| **Start of change** |

### 5.4.1 UL Grant reception

Uplink grant is either received dynamically on the PDCCH, in a Random Access Response, configured semi-persistently by RRC or determined to be associated with the PUSCH resource of MSGA as specified in clause 5.1.2a. The MAC entity shall have an uplink grant to transmit on the UL-SCH. To perform the requested transmissions, the MAC layer receives HARQ information from lower layers. An uplink grant addressed to CS-RNTI with NDI = 0 is considered as a configured uplink grant. An uplink grant addressed to CS-RNTI with NDI = 1 is considered as a dynamic uplink grant.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4> trigger configured uplink grant confirmation.

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

4> trigger configured uplink grant confirmation;

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

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

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

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

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

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

1> if the MAC entity is not configured with *lch-basedPrioritization*, and the PUSCH duration of the configured uplink grant does not overlap with the PUSCH duration of an uplink grant received on the PDCCH or in a Random Access Response or the PUSCH duration of a MSGA payload for this Serving Cell:

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

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

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

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

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

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

4> consider the NDI bit to have been toggled;

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

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

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

For configured uplink grants neither configured with *harq-ProcID-Offset2* nor with *cg-RetransmissionTimer*, the HARQ Process ID associated with the first symbol of a UL transmission is derived from the following equation:

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

For configured uplink grants with *harq-ProcID-Offset2*, the HARQ Process ID associated with the first symbol of a UL transmission is derived from the following equation:

HARQ Process ID = [floor(CURRENT\_symbol / *periodicity*)] modulo *nrofHARQ-Processes* + *harq-ProcID-Offset2*

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

For configured uplink grants configured with *cg-RetransmissionTimer*, the UE implementation selects an HARQ Process ID among the HARQ process IDs available for the configured grant configuration. If the MAC entity is configured with *intraCG-Prioritization*, for HARQ Process ID selection, the UE shall prioritize the HARQ Process ID with the highest priority, where the priority of HARQ process is determined by the highest priority among priorities of the logical channels that are multiplexed (i.e. the MAC PDU to transmit is already stored in the HARQ buffer) or have data available that can be multiplexed (i.e. the MAC PDU to transmit is not stored in the HARQ buffer) in the MAC PDU, according to the mapping restrictions as described in clause 5.4.3.1.2. If the MAC entity is not configured with *intraCG-Prioritization*, for HARQ Process ID selection, the UE shall prioritize retransmissions before initial transmissions. The UE shall toggle the NDI in the CG-UCI for new transmissions and not toggle the NDI in the CG-UCI in retransmissions.

Editor’s Note: HPI selection rule among HPs with equal priority is FFS.

Editor’s Note: Naming of configuration “*intraCG-Prioritization*” needs to be confirmed.

Editor’s Note: The priority of HARQ process for MAC PDU without data for logical channel is FFS.

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

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

NOTE 3: If the MAC entity receives a grant in a Random Access Response (i.e. MAC RAR or fallbackRAR), or addressed to Temporary C-RNTI or determines a grant as specified in clause 5.1.2a for MSGA payload and if the MAC entity also receives an overlapping grant for its C-RNTI or CS-RNTI, requiring concurrent transmissions on the SpCell, the MAC entity may choose to continue with either the grant for its RA-RNTI/Temporary C-RNTI/MSGB-RNTI/the MSGA payload transmission or the grant for its C-RNTI or CS-RNTI.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

NOTE 8: If the MAC entity is configured with *lch-basedPrioritization*, the MAC entity does not take UCI multiplexing according to the procedure specified in TS 38.213 [6] into account when determining whether the PUSCH duration of an uplink grant overlaps with the PUCCH resource for an SR transmission.

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| **Next change** |

### 5.4.4 Scheduling Request

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

The MAC entity may be configured with zero, one, or more SR configurations. An SR configuration consists of a set of PUCCH resources for SR across different BWPs and cells. For a logical channel or for SCell beam failure recovery (see clause 5.17) and for consistent LBT failure recovery (see clause 5.21), at most one PUCCH resource for SR is configured per BWP.

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

RRC configures the following parameters for the scheduling request procedure:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

6> increment *SR\_COUNTER* by 1;

6> start the *sr-ProhibitTimer*.

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

6> increment *SR\_COUNTER* by 1.

4> else:

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

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

5> clear any configured downlink assignments and uplink grants;

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

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

3> else:

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

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

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

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

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

NOTE 5: If the MAC entity is configured with *lch-basedPrioritization,* the MAC entity does not take UCI multiplexing according to the procedure specified in TS 38.213 [6] into account when determining whether the valid PUCCH resource for the SR transmission can be signalled by the physical layer and the SR transmission occasion overlaps with the PUSCH duration of an uplink grant of a MSGA payload.

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

- a MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes a BSR MAC CE which contains buffer status up to (and including) the last event that triggered a BSR (see clause 5.4.5) prior to the MAC PDU assembly; or

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

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

- a MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes a SL-BSR MAC CE which contains buffer status up to (and including) the last event that triggered a SL-BSR (see clause 5.22.1.6) prior to the MAC PDU assembly; or

- the SL grant(s) can accommodate all pending data available and/or SL-CSI reporting MAC CE for transmission.

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

- a MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload, and this PDU contains a BFR MAC CE or a Truncated BFR MAC CE which includes beam failure recovery information of that SCell; or

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

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

- a MAC PDU is transmitted using a UL grant other than a UL grant provided by Random Access Response or a UL grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload, and this PDU includes an LBT failure MAC CE that indicates consistent LBT failure for all the SCells that triggered consistent LBT failure; or

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

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| **Next change** |

### 5.8.2 Uplink

There are two types of transmission without dynamic grant:

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

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

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

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 configured with *cg-RetransmissionTimer* for operation with shared spectrum channel access;

- *harq-ProcID-Offset2*: offset of HARQ process for configured grant not configured with *cg-RetransmissionTimer*;

- *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 configured with *cg-RetransmissionTimer* for operation with shared spectrum channel access;

- *harq-ProcID-Offset2*: offset of HARQ process for configured grant not configured with *cg-RetransmissionTimer*.

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

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

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

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

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

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

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

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

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

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

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

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

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

The MAC entity shall:

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

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

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

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

2> else:

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

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

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

Retransmissions use:

- repetition of configured uplink grants; or

- received uplink grants addressed to CS-RNTI; or

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

|  |
| --- |
| **End of change** |

# Annex: RAN2 Agreements

Captured by MAC CR

RAN2#111-e

Enhancements for support of time synchronization

=> Discuss by email the delay components and understand the requirements with each component and agree on what needs to be addressed

=> Introduce propagation delay compensation for the improved synchronisation accuracy requirement in case of in UL Time Synchronization

RAN2#112-e

Enhancements for support of time synchronization

**Agreements**

1: RAN2 should consider the following three scenarios, with a focus on Scenario 2 and 3:

• Scenario 1: In the control-to-control communication use case, where TSC devices behind a target UE are synchronized to any TD, from a GM behind the CN. The 5GS introduced error is caused by the relative time-stamping inaccuracy at the NW-TT and the DS-TTs.

• Scenario 2: In the control-to-control communication use case, where TSC devices behind a target UE are synchronized to any TD, from a GM behind the UE. The 5GS introduced error is caused by the relative time-stamping inaccuracies at the involved DS-TTs.

• Scenario 3: In the smart grid use case, where the TSC devices behind a target UE are synchronized to the 5G GM TD. The 5GS introduced error is caused by the synchronization of the 5G clock to the DS-TT.

2 RAN2 should evaluate the synchronicity budget by dividing the 5GS E2E path into three parts: Network, Device, and Uu interface. Where the Uu interface is understood as the maximum 5GS time synchronization error between the UE and the gNB-DU (i.e. DU-CU interface error is not included)

3 RAN2 assumes the two Uu interfaces in Scenario 2 have the same time synchronization error budget.

4 The Uu interface budget for Scenario 1, 2 and 3 are respectively calculated as following:

• Scenario 1: Uu budget = 900ns – Device – Network scenario1

• Scenario 2: Uu budget = (900ns – 2xDevice – 2xNetwork scenario2)/2 (assumption is based on GPTP)

• Scenario 3: Uu budget = 1000ns – Device – Networkscenario3 (baseline assumption that this is based on GNSS)

5 The Device part time synchronization accuracy budget is assumed to be in the range ±50 to ±100ns, this applies to all three scenarios

6 The error caused by the limited granularity of referenceTimeInfo-r16 IE (±5ns) is to be included in the network part budget, and RAN1 should be informed not to include this error in Uu interface.

7 The Network part time synchronization accuracy budget for Scenario 1, 2, and 3 are assumed to be the following:

• Scenario 1: ±120 to ±200ns (NetworkScenario1) (*assuming 3-5 hops worst case scenario*

• Scenario 2: ±240 to ±400ns (2xNetworkScenario2) *(assuming 6-10hops worst case scenario)*

• Scenario 3: ±100ns (NetworkScenario3)

8 Based on Proposal 4, 5, 6 and 7, the per Uu interface time synchronization accuracy for Scenario 1, 2 and 3 are as following:

• Scenario 1: ±595ns to ±725ns

• Scenario 2: ±145ns to ±275ns

• Scenario 3: ±795ns to ±845ns

9 LS to RAN1 providing the scenarios and values. Indicate to RAN1 that they should aim to meet the most stringest requirements, but a number within the range is also acceptable

 10 It is up to RAN1 to decide which PDC options should be supported for Scenario 1, 2 and 3 in Release-17.

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements:**

**From RAN2 perspective**

1 It is assumed that LBT failures only happen infrequently in UCE (unlicensed controlled environment). A formal definition of UCE and its relationship to semi-static or dynamic access mode is not necessary in RAN2 specifications.

2 cg-RetransmissionTimer can be configured optionally for shared spectrum

3 When cg-RetransmissionTimer is configured, Rel-16 NR-U mechanism is used for HARQ process ID and RV selection.

4 When cg-RetransmissionTimer is not configured, Rel-16 URLLC mechanism may be used for HARQ process ID and RV selection.

5 As a baseline, HARQ processes sharing between multiple CGs are allowed when cg-RetransmissionTimer is configured as in Rel-16 NR-U.

6 HARQ processes sharing between multiple CGs are not allowed when cg-RetransmissionTimer is not configured.

7 FFS if LCH based prioritization can be configured with *cg-RetransmissionTimer*

8 The assumption for Rel-16 is that the network will not configure *autonomousTx and cg-RetransmissionTimer* simultaneously per cell. No optimizations will be pursued to allow the two features be configured together in Rel-16. No CR is needed for this for now.

9 If a configured grant is deprioritized and/or gNB didn’t get it (e.g. LBT failure and/or tx failure) then we should be able to autonomously re-transmit it. FFS how to achieve it (using existing mechanisms should be considered as baseline)

RAN enhancements based on new QoS

**Agreements**

=> Time period during which “message loss” can be tolerated is adopted as the preferred format for Survival time. FFS how this will be achieved and what message loss means in RAN2

RAN2#113-e

Enhancements for support of time synchronization

**Assumptions:**

- There is no UE clock drift issue to be addressed

- The source and target gNB are tightly synchronized to the same master clock within the budget and there is no need to optimize anything for HO.

**Agreements**

- gPTP message interruption during mobility is not considered in the Rel-17 IIoT WI (i.e. no further specification impact are considered)

- RAN2 to confirm which PDC option to choose is up-to RAN1 to decide

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements:**

1. LCH based prioritization and cg-RetransmissionTimer can be configured together in Rel-17 (consensus)
2. Option 1: AutoTx and CGRT are responsible for deprioritized MAC PDU and LBT-failed MAC PDU, respectively.

If CGRT is not configured, LBT-failed MAC PDU is not retransmitted. If AutoTx is not configured, deprioritized MAC PDU is not retransmitted.

1. the MAC entity stops cg-RetransmissionTimer when the CG resource associated with the timer is deprioritized due to LCH-based prioritization.
2. FFS With cg-RetransmissionTimer and LCH-based prioritization configured, the MAC entity can prioritize between initial transmissions and retransmissions on a CG based on priority of multiplexed LCH(s) -or to be multiplexed
3. LBT failure is not considered when determining a grant priority for intra-UE prioritization (17/22)
4. Configuring a subset of HARQ processes as “restricted processes” for transmission of data from higher priority LCHs is not supported (18/22)
5. Enhancements for handling conflicting DG-CG transmissions of the same HARQ process are not supported (18/22)

RAN enhancements based on new QoS

**Agreements**

- Communication service availability (CSA) is not needed on top of survival time. Send a reply LS to SA2 to notify such confirmation

*-* RAN2 confirms that specification enhancement for survival time support may only needed for uplink. Downlink is addressed by implementation and no specification impacts.

*-* Support for survival time in UCE is up to network configuration.

- Continue discussing whether burst spread and burst ending time is beneficial from RAN2 perspective, but trigger the discussion after SA2 progress in February

- Communication service reliability (CSR) is not needed on top of survival time

- Only periodic traffic is considered for survival time work in Rel-17

- RAN2 assumes one application message is conveyed by one PDCP SDU, and may further consider the cases where one application message is conveyed by varying number of PDCP SDUs depending on the progress

RAN2#114-e

Enhancements for support of time synchronization

=> RAN2 sees some benefits to having this information.

=> email discussion to finetune to converge on what to respond to SA2

Uplink enhancements for URLLC in unlicensed controlled environments

Agreements:

1. When both of lch-based Prioritization and cg-RetransmissionTimer are configured, HARQ processes sharing between multiple CG configurations are allowed. No specification change is required.
2. RAN2 confirm that neither autonomous transmission nor autonomous retransmission is triggered if UL grant is prioritized and LBT fails while AutonomousTx is configured and cg-RetransmissionTimer is not configured. No specification change is required.
3. RAN2 confirm that autonomous retransmission is triggered if UL grant is prioritized and LBT fails while AutonomousTx is not configured and cg-RetransmissionTimer is configured. No specification change is required
4. RAN2 confirm that autonomous retransmission is triggered if UL grant is prioritized and LBT fails while AutonomousTx and cg-RetransmissionTimer are configured. No specification change is required.
5. RAN2 confirm that autonomous transmission is triggered if UL grant is deprioritized while AutonomousTx is configured and cg-RetransmissionTimer is not configured. No specification change is required.
6. RAN2 confirm that autonomous transmission is triggered if the transmission of the obtained MAC PDU has not been completely performed and if UL grant is deprioritized while AutonomousTx and cg-RetransmissionTimer are configured. No specification change is required.
7. The HARQ process is kept as pending even if a CG is de-prioritized while the HARQ state of the associated HARQ process is pending (i.e. MAC PDU hasn’t been transmitted). No specification change is required

8. When cg-RetransmissionTimer and lch-basedPrioritization are configured, for overlapping CGs, the MAC entity prioritizes the initial transmission of higher priority data over autonomous retransmission of lower priority data. FFS how to implement this in Rel-17 after some of the Rel-16 discussion takes place

RAN enhancements based on new QoS

**Agreement:**

1. RAN2 does not consider the Burst Spread parameter in RAN
2. The Burst End Time parameter in RAN is out of scope for Rel-17 IIoT WI.
3. No specific enhancements in support of Survival Time in UCE will be studied in R17, but we should aim for solutions for Survival time that also work in UCE
4. When Survival Time information is provided in TSC AI, RAN action (gNB and/or UE) can utilize it to improve the associated link reliability so that the survival time requirement is met
5. Study fast mechanisms for survival time handling and the need

**Agreements:**

1 RAN2 takes the performance requirements of the top 3 rows of Table 5.2-1 from TS 22.104 (transfer interval = survival time = 0.5/1/2ms)

2 Survival Time triggered proactively based on Sequence Number is deprioritized

3 UE-based reactive solution based on RLC-NACK is not pursued

4 RAN2 will work/study UE-based reactive solutions to address survival time on top of gNB implementation. RAN2 assumes that gNB implementation solutions on their own are not sufficient.

RAN2#115-e

Enhancements for support of time synchronization

**Agreements**

1. RAN2 assumes that gNB can perform pre-compensation. RAN2 agrees to introduce signalling to enable/disable UE-side PDC.
2. The gNB can enable/disable UE-side PDC via unicast-RRC signalling for Rel-17
3. RAN2 shall wait for RAN1 to decide the measurement framework for RTT based PDC method and does not preclude UE-side PDC or gNB based pre-compensation at this point. RAN2 is expecting guidance from RAN1 on what is needed.
4. UE Assistance information from the UE which could for example be used by gNB to activate PDC is not supported
5. Implicit activation of UE-side PDC when a pre-configured threshold is met is not supported
6. UE-based trigger for TA update or RACH procedure for PDC are deprioritized for Release 17

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements**

1. When cg-RetransmissionTimer is not configured, Rel-16 URLLC mechanism is used for HARQ process ID and RV selection
2. When cg-RetransmissionTimer and lch-basedPrioritization are configured, for overlapping CGs that do not share HARQ processes, the MAC entity prioritizes the initial transmission of higher priority data over autonomous retransmission of lower priority data. No specification change is foreseen
3. The same HARQ PID selection rule applies to all CGs when HARQ processes are shared between multiple CG configurations with non-overlapping CG occasions and with the same TBS. No specification change is foreseen
4. It is up to NW implementation to appropriately configure CGs that share HARQ processes with autonomousTx. No specification change is foreseen
5. When lch-basedPrioritization and cg-RetransmissionTimer are both configured, the gNB can configure the UE per MAC entity whether it follows Rel-16 baseline or whether it prioritizes high priority data when selecting HARQ PID for a CG (i.e. option 2 is configurable).
6. The same HARQ PID selection rule applies to all CGs when HARQ processes are shared between multiple CG configurations with overlapping CG occasions with the same TBS. No specification change is foreseen

RAN enhancements based on new QoS

**Agreements**

1. RAN2 does not assume that physical HARQ-NACK messages are always available, i.e. RAN2 will not mandate explicit HARQ-NACK feedback
2. Given the application message size range under study, RAN2 will not optimize the ST design based on case of segmentation of message into multiple TBs. (This does not preclude the use of RLC segmentation; instead, it rules out optimizations for the case with RLC segmentation)
3. Following entry into the Survival Time state, PDCP duplication for ST configuration is activated. The gNB pre-configures which RLC entities can be activated for duplication when entering ST state. FFS the number of supported RLC entities.
4. RAN2 will at least continue working and discussing the HARQ NACK solution. Details are FFS.