3GPP RAN WG2 Meeting #116e R2-211xxxx

eMeeting November 1st – 12th, 2021

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.321** | **CR** | **draft** | **rev** | **-** | **Current version:** | **16.6.0** |  |
|  | | | | | | | | |
| *For* [*HE**LP*](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **x** | Core Network |  |

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| ***Title:*** | Stage-3 running CR for TS 38.321 for Rel-17 NTN | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | InterDigital | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_NTN\_solutions-core | | | | |  | ***Date:*** | | | 2021-11-15 |
|  |  | | | |  | |  | | |  |
| ***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 can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | Introduction of Release-17 support for Non-Terrestrial Networks (NTN) | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | This running CR captures agreements made for NR to support Non-Terrestrial Networks (NTN) for Release-17 up to RAN2 116e meeting, specifically:   * Definition of UE-gNB RTT * Aligning NTN-specific handling of *ra-responseWindow* and *ra-ContentionResolutionTimer* with RAN1 agreements; * Support for UE-specific TA reporting in RACH procedure;   + enabling/disabling via SI   + reporting in MsgA/Msg3/Msg5 * Support for disabling DL HARQ feedback * Introduction of *allowedHARQ-DRX-LCPmode* LCH mapping restriction * Modifications to DRX HARQ RTT Timers * Introduction of UE specific TA Reporting Procedure * Introduction of UE-Specific TA Reporting MAC CE. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | No support for Release-17 enhancements for NTN in NR | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 3.1, 5.1.1, 5.1.3a, 5.1.4, 5.1.5, 5.3.2, 5.4.3.1, 5.7, 5.XX, 6.1.3.XX, 6.2.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  |  | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  |  | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  |  | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

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# 3 Definitions, symbols and abbreviations

## 3.1 Definitions

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

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

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

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

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

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

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

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

**Non-terrestrial network:** [to be provided by the RAN3 stg2 BL CR].

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

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

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

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

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

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

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

**UE-gNB RTT:** For non-terrestrial networks, the sum of the UEs Timing Advance value and K\_mac, see TS 38.2XX [Y] clause X.X.

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

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

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# 5 MAC procedures

## 5.1 Random Access procedure

### 5.1.1 Random Access procedure initialization

The Random Access procedure described in this clause is initiated by a PDCCH order, by the MAC entity itself, or by RRC for the events in accordance with TS 38.300 [2]. There is only one Random Access procedure ongoing at any point in time in a MAC entity. The Random Access procedure on an SCell shall only be initiated by a PDCCH order with *ra-PreambleIndex* different from 0b000000.

NOTE 1: If a new Random Access procedure is triggered while another is already ongoing in the MAC entity, it is up to UE implementation whether to continue with the ongoing procedure or start with the new procedure (e.g. for SI request).

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

RRC configures the following parameters for the Random Access procedure:

- *prach-ConfigurationIndex*: the available set of PRACH occasions for the transmission of the Random Access Preamble for Msg1. These are also applicable to the MSGA PRACH if the PRACH occasions are shared between 2-step and 4-step RA types;

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

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

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

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

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

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

- *rsrp-ThresholdSSB*: an RSRP threshold for the selection of the SSB for 4-step RA type. If the Random Access procedure is initiated for beam failure recovery, *rsrp-ThresholdSSB* used for the selection of the SSB within *candidateBeamRSList* refers to *rsrp-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;

- *rsrp-ThresholdCSI-RS*: an RSRP threshold for the selection of CSI-RS for 4-step RA type. If the Random Access procedure is initiated for beam failure recovery, *rsrp-ThresholdCSI-RS* is equal to *rsrp-ThresholdSSB* in *BeamFailureRecoveryConfig* IE;

- *msgA-RSRP-ThresholdSSB*: an RSRP threshold for the selection of the SSB for 2-step RA type;

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

*- msgA-RSRP-Threshold*: an RSRP threshold for selection between 2-step RA type and 4-step RA type when both 2-step and 4-step RA type Random Access Resources are configured in the UL BWP;

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

- *candidateBeamRSList*: a list of reference signals (CSI-RS and/or SSB) identifying the candidate beams for recovery and the associated Random Access parameters;

- *recoverySearchSpaceId*: the search space identity for monitoring the response of the beam failure recovery request;

- *powerRampingStep*: the power-ramping factor;

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

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

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

- *ra-PreambleIndex*: Random Access Preamble;

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

- *msgA-SSB-SharedRO-MaskIndex*: Indicates the subset of 4-step RA type PRACH occasions shared with 2-step RA type PRACH occasions for each SSB. If 2-step RA type PRACH occasions are shared with 4-step RA type PRACH occasions and *msgA-SSB-SharedRO-MaskIndex* is not configured, then all 4-step RA type PRACH occasions are available for 2-step RA type (see clause 7.4);

- *ra-OccasionList*: defines PRACH occasion(s) associated with a CSI-RS in which the MAC entity may transmit a Random Access Preamble;

- *ra-PreambleStartIndex*: the starting index of Random Access Preamble(s) for on-demand SI request;

- *preambleTransMax*: the maximum number of Random Access Preamble transmission;

- *ssb-perRACH-OccasionAndCB-PreamblesPerSSB*: defines the number of SSBs mapped to each PRACH occasion for 4-step RA type and the number of contention-based Random Access Preambles mapped to each SSB;

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

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

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

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

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

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

- Amongst the contention-based Random Access Preambles associated with an SSB (as defined in TS 38.213 [6]), the first *numberOfRA-PreamblesGroupA* included in *groupBconfigured* Random Access Preambles belong to Random Access Preambles group A. The remaining Random Access Preambles associated with the SSB belong to Random Access Preambles group B (if configured).

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

- Amongst the contention-based Random Access Preambles for 2-step RA type associated with an SSB (as defined in TS 38.213 [6]), the first *numberOfRA-PreamblesGroupA* included in *GroupB-ConfiguredTwoStepRA* Random Access Preambles belong to Random Access Preambles group A. The remaining Random Access Preambles associated with the SSB belong to Random Access Preambles group B (if configured).

NOTE 3: If Random Access Preambles group B is supported by the cell Random Access Preambles group B is included for each SSB.

- if Random Access Preambles group B is configured for 4-step RA type:

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

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

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

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

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

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

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

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

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

- the set of Random Access Preambles and/or PRACH occasions for SI request, if any;

- the set of Random Access Preambles and/or PRACH occasions for beam failure recovery request, if any;

- the set of Random Access Preambles and/or PRACH occasions for reconfiguration with sync, if any;

- *ra-ResponseWindow*: the time window to monitor RA response(s) (SpCell only);

Editor’s note: *Agreement:* If the start of *ra-ResponseWindow* is accurately compensated by UE-gNB RTT, *ra-ResponseWindow* is not extended in LEO/GEO. Editor: RTT estimation accuracy still to be determined by RAN1.

- *ra-ContentionResolutionTimer*: the Contention Resolution Timer (SpCell only);

- *msgB-ResponseWindow*: the time window to monitor RA response(s) for 2-step RA type (SpCell only);

Editor’s note: *Agreement:* If the start of *msgB-ResponseWindow* is accurately compensated by UE-gNB RTT, *msgB-ResponseWindow* is not extended in LEO/GEO. Editor: RTT estimation accuracy still to be determined by RAN1.

- *enableTA-Report*: indicates whether UE-specific TA reporting during Random Access procedure is enabled.

In addition, the following information for related Serving Cell is assumed to be available for UEs:

- if Random Access Preambles group B is configured:

- if the Serving Cell for the Random Access procedure is configured with supplementary uplink as specified in TS 38.331 [5], and SUL carrier is selected for performing Random Access Procedure:

- PCMAX,f,c of the SUL carrier as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16].

- else:

- PCMAX,f,c of the NUL carrier as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16].

The following UE variables are used for the Random Access procedure:

- *PREAMBLE\_INDEX*;

- *PREAMBLE\_TRANSMISSION\_COUNTER*;

- *PREAMBLE\_POWER\_RAMPING\_COUNTER*;

- *PREAMBLE\_POWER\_RAMPING\_STEP*;

- *PREAMBLE\_RECEIVED\_TARGET\_POWER*;

- *PREAMBLE\_BACKOFF*;

- *PCMAX*;

- *SCALING\_FACTOR\_BI*;

- *TEMPORARY\_C-RNTI*;

- *RA\_TYPE*;

- *POWER\_OFFSET\_2STEP\_RA*;

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

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

1> flush the Msg3 buffer;

1> flush the MSGA buffer;

1> set the *PREAMBLE\_TRANSMISSION\_COUNTER* to 1;

1> set the *PREAMBLE\_POWER\_RAMPING\_COUNTER* to 1;

1> set the *PREAMBLE\_BACKOFF* to 0 ms;

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

1> if the carrier to use for the Random Access procedure is explicitly signalled:

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

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

1> else if the carrier to use for the Random Access procedure is not explicitly signalled; and

1> if the Serving Cell for the Random Access procedure is configured with supplementary uplink as specified in TS 38.331 [5]; and

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

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

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

1> else:

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

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

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

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

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

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

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

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

1> else if the BWP selected for Random Access procedure is configured with both 2-step and 4-step RA type Random Access Resources and the RSRP of the downlink pathloss reference is above *msgA-RSRP-Threshold*; or

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

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

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

1> else:

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

1> perform initialization of variables specific to Random Access type as specified in clause 5.1.1a;

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

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

1> else:

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

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### 5.1.3a MSGA transmission

The MAC entity shall, for each MSGA:

1> if *PREAMBLE\_TRANSMISSION\_COUNTER* is greater than one; and

1> if the notification of suspending power ramping counter has not been received from lower layers; and

1> if LBT failure indication was not received from lower layers for the last MSGA Random Access Preamble transmission; and

1> if SSB selected is not changed from the selection in the last Random Access Preamble transmission:

2> increment *PREAMBLE\_POWER\_RAMPING\_COUNTER* by 1.

1> select the value of *DELTA\_PREAMBLE* according to clause 7.3;

1> set *PREAMBLE\_RECEIVED\_TARGET\_POWER* to *msgA-PreambleReceivedTargetPower* + *DELTA\_PREAMBLE* + (*PREAMBLE\_POWER\_RAMPING\_COUNTER* – 1) × *PREAMBLE\_POWER\_RAMPING\_STEP*;

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

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

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

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

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

2> if the Random Access procedure was not initiated due to SI Request and *enableTA-Report* with value enabled is configured:

3> indicate to the Multiplexing and assembly entity to include a UE-Specific TA Report MAC CE in the subsequent uplink transmission.

Editor’s note: The above can be revisited if RAN1 comes to a different conclusion in terms of what needs to be conveyed to NW.

2> obtain the MAC PDU to transmit from the Multiplexing and assembly entity according to the HARQ information determined for the MSGA payload (see clause 5.1.2a) and store it in the MSGA buffer.

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

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

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

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

2> if *lbt-FailureRecoveryConfig* is configured:

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

2> else:

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

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

4> indicate a Random Access problem to upper layers;

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

5> consider this Random Access procedure unsuccessfully completed.

3> if the Random Access procedure is not completed:

4> if *msgA-TransMax* is applied (see clause 5.1.1a) and *PREAMBLE\_TRANSMISSION\_COUNTER* = *msgA-TransMax* + 1:

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

5> perform initialization of variables specific to Random Access type as specified in clause 5.1.1a;

5> if the Msg3 buffer is empty:

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

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

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

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

4> else:

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

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

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

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

where s\_id is the index of the first OFDM symbol of the PRACH occasion (0 ≤ s\_id < 14), t\_id is the index of the first slot of the PRACH occasion in a system frame (0 ≤ t\_id < 80), where the subcarrier spacing to determine t\_id is based on the value of μ specified in clause 5.3.2 in TS 38.211 [8], f\_id is the index of the PRACH occasion in the frequency domain (0 ≤ f\_id < 8), and ul\_carrier\_id is the UL carrier used for Random Access Preamble transmission (0 for NUL carrier, and 1 for SUL carrier). The RA-RNTI is calculated as specified in clause 5.1.3.

### 5.1.4 Random Access Response reception

Once the Random Access Preamble is transmitted and regardless of the possible occurrence of a measurement gap, the MAC entity shall:

1> if the contention-free Random Access Preamble for beam failure recovery request was transmitted by the MAC entity:

2> if the contention-free Random Access Preamble for beam failure recovery request was transmitted on a non-terrestrial network:

3> start *the ra-ResponseWindow* configured in *BeamFailureRecoveryConfig* at the PDCCH occasion as specified in TS 38.213 [6];

2> else:

3> start the *ra-ResponseWindow* configured in *BeamFailureRecoveryConfig* at the first PDCCH occasion as specified in TS 38.213 [6] from the end of the Random Access Preamble transmission;

2> monitor for a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* of the SpCell identified by the C-RNTI while *ra-ResponseWindow* is running.

1> else:

2> if the Random Access Preamble was transmitted on a non-terrestrial network:

3> start the *ra-ResponseWindow* configured in *RACH-ConfigCommon* at the PDCCH occasion as specified in TS 38.213 [6];

2> else:

3> start the *ra-ResponseWindow* configured in *RACH-ConfigCommon* at the first PDCCH occasion as specified in TS 38.213 [6] from the end of the Random Access Preamble transmission;

Editor’s note: How UE detects cell originates from a non-terrestrial network to be confirmed by RAN2.

2> monitor the PDCCH of the SpCell for Random Access Response(s) identified by the RA-RNTI while the *ra-ResponseWindow* is running.

1> if notification of a reception of a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* is received from lower layers on the Serving Cell where the preamble was transmitted; and

1> if PDCCH transmission is addressed to the C-RNTI; and

1> if the contention-free Random Access Preamble for beam failure recovery request was transmitted by the MAC entity:

2> consider the Random Access procedure successfully completed.

1> else if a valid (as specified in TS 38.213 [6]) downlink assignment has been received on the PDCCH for the RA-RNTI and the received TB is successfully decoded:

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

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

2> else:

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

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

3> consider this Random Access Response reception successful.

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

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

4> consider this Random Access procedure successfully completed;

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

3> else:

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

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

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

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

6> ignore the received UL grant.

5> else:

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

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

5> consider the Random Access procedure successfully completed.

4> else:

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

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

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

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

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

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

6> if the Random Access procedure was not initiated due to SI Request and *enableTA-Report* with value *enabled* is configured:

7> indicate to the Multiplexing and assembly entity to include a UE-Specific TA Report MAC CE in the subsequent uplink transmission.

Editor’s note: The above can be revisited if RAN1 comes to a different conclusion in terms of what needs to be conveyed to NW.

6> obtain the MAC PDU to transmit from the Multiplexing and assembly entity and store it in the Msg3 buffer.

NOTE: If within a Random Access procedure, an uplink grant provided in the Random Access Response for the same group of contention-based Random Access Preambles has a different size than the first uplink grant allocated during that Random Access procedure, the UE behavior is not defined.

1> if *ra-ResponseWindow* configured in *BeamFailureRecoveryConfig* expires and if a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* addressed to the C-RNTI has not been received on the Serving Cell where the preamble was transmitted; or

1> if *ra-ResponseWindow* configured in *RACH-ConfigCommon* expires, and if the Random Access Response containing Random Access Preamble identifiers that matches the transmitted *PREAMBLE\_INDEX* has not been received:

2> consider the Random Access Response reception not successful;

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

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

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

4> indicate a Random Access problem to upper layers;

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

5> consider the Random Access procedure unsuccessfully completed.

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

4> consider the Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

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

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

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

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

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

3> else:

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

The MAC entity may stop *ra-ResponseWindow* (and hence monitoring for Random Access Response(s)) after successful reception of a Random Access Response containing Random Access Preamble identifiers that matches the transmitted *PREAMBLE\_INDEX*.

HARQ operation is not applicable to the Random Access Response reception.

### 5.1.5 Contention Resolution

Once Msg3 is transmitted the MAC entity shall:

1> if Msg3 is transmitted on a non-terrestrial network:

2> start the *ra-ContentionResolutionTimer* and restart the *ra-ContentionResolutionTimer* at each HARQ retransmission in the first symbol after the end of the Msg3 transmission plus the UE estimate of UE-gNB RTT as specified in TS 38.2XX [6] clause X.X;

1> else:

2> start the *ra-ContentionResolutionTimer* and restart the *ra-ContentionResolutionTimer* at each HARQ retransmission in the first symbol after the end of the Msg3 transmission;

Editor’s note: How UE detects cell originates from a non-terrestrial network to be confirmed by RAN2.

1> monitor the PDCCH while the *ra-ContentionResolutionTimer* is running regardless of the possible occurrence of a measurement gap;

1> if notification of a reception of a PDCCH transmission of the SpCell is received from lower layers:

2> if the C-RNTI MAC CE was included in Msg3:

3> if the Random Access procedure was initiated for SpCell beam failure recovery (as specified in clause 5.17) and the PDCCH transmission is addressed to the C-RNTI; or

3> if the Random Access procedure was initiated by a PDCCH order and the PDCCH transmission is addressed to the C-RNTI; or

3> if the Random Access procedure was initiated by the MAC sublayer itself or by the RRC sublayer and the PDCCH transmission is addressed to the C-RNTI and contains a UL grant for a new transmission:

4> consider this Contention Resolution successful;

4> stop *ra-ContentionResolutionTimer*;

4> discard the *TEMPORARY\_C-RNTI*;

4> consider this Random Access procedure successfully completed.

2> else if the CCCH SDU was included in Msg3 and the PDCCH transmission is addressed to its *TEMPORARY\_C-RNTI*:

3> if the MAC PDU is successfully decoded:

4> stop *ra-ContentionResolutionTimer*;

4> if the MAC PDU contains a UE Contention Resolution Identity MAC CE; and

4> if the UE Contention Resolution Identity in the MAC CE matches the CCCH SDU transmitted in Msg3:

5> consider this Contention Resolution successful and finish the disassembly and demultiplexing of the MAC PDU;

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

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

5> else:

6> set the C-RNTI to the value of the *TEMPORARY\_C-RNTI*;

5> discard the *TEMPORARY\_C-RNTI*;

5> consider this Random Access procedure successfully completed.

4> else:

5> discard the *TEMPORARY\_C-RNTI*;

5> consider this Contention Resolution not successful and discard the successfully decoded MAC PDU.

1> if *ra-ContentionResolutionTimer* expires:

2> discard the *TEMPORARY\_C-RNTI*;

2> consider the Contention Resolution not successful.

1> if the Contention Resolution is considered not successful:

2> flush the HARQ buffer used for transmission of the MAC PDU in the Msg3 buffer;

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

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

3> indicate a Random Access problem to upper layers.

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

4> consider the Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

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

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

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

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

4> else:

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

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

4> if *msgA-TransMax* is applied (see clause 5.1.1a) and *PREAMBLE\_TRANSMISSION\_COUNTER* = *msgA-TransMax* + 1:

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

5> perform initialization of variables specific to Random Access type as specified in clause 5.1.1a;

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

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

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

4> else:

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

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

6> perform the Random Access Resource selection procedure for 2-step RA type as specified in clause 5.1.2a.

5> else:

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

<<<<<<<<<<<<<<<<<<<< Change ends >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Change begins >>>>>>>>>>>>>>>>>>>>

### 5.3.2 HARQ operation

#### 5.3.2.1 HARQ Entity

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

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

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

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

1> if a downlink assignment has been indicated:

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

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

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

#### 5.3.2.2 HARQ process

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

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

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

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

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

2> consider this transmission to be a new transmission.

1> else:

2> consider this transmission to be a retransmission.

The MAC entity then shall:

1> if this is a new transmission:

2> attempt to decode the received data.

1> else if this is a retransmission:

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

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

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

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

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

3> deliver the decoded MAC PDU to upper layers.

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

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

1> else:

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

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

1> if the HARQ process is associated with a transmission indicated with a MSGB-RNTI and the Random Access procedure is not yet successfully completed (see clause 5.1.4a); or

1> if the HARQ process is equal to the broadcast process; or

1> if the *timeAlignmentTimer*, associated with the TAG containing the Serving Cell on which the HARQ feedback is to be transmitted, is stopped or expired; or

1> if the HARQ process is configured with disabled HARQ feedback as specified in TS 38.331 [5]:

2> not instruct the physical layer to generate acknowledgement(s) of the data in this TB.

1> else:

2> instruct the physical layer to generate acknowledgement(s) of the data in this TB.

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

NOTE: If the MAC entity receives a retransmission with a TB size different from the last TB size signalled for this TB, the UE behavior is left up to UE implementation.

<<<<<<<<<<<<<<<<<<<< Change ends >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Change begins >>>>>>>>>>>>>>>>>>>>

## 5.4 UL-SCH data transfer

### 5.4.1 UL Grant reception

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

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

Editor’s note: *Agreement:* *configuredGrantTimer* can be extended in NTN. FFS details of when extension is applicable and method of extention.

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. 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.

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.

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> 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.

<<<<<<<<<<<<<<<<<<<< Change ends >>>>>>>>>>>>>>>>>>>>

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#### 5.4.3.1 Logical Channel Prioritization

##### 5.4.3.1.1 General

The Logical Channel Prioritization (LCP) procedure is applied whenever a new transmission is performed.

RRC controls the scheduling of uplink data by signalling for each logical channel per MAC entity:

- *priority* where an increasing priority value indicates a lower priority level;

- *prioritisedBitRate* which sets the Prioritized Bit Rate (PBR);

- *bucketSizeDuration* which sets the Bucket Size Duration (BSD).

RRC additionally controls the LCP procedure by configuring mapping restrictions for each logical channel:

- *allowedSCS-List* which sets the allowed Subcarrier Spacing(s) for transmission;

- *maxPUSCH-Duration* which sets the maximum PUSCH duration allowed for transmission;

- *configuredGrantType1Allowed* which sets whether a configured grant Type 1 can be used for transmission;

- *allowedServingCells* which sets the allowed cell(s) for transmission;

- *allowedCG-List* which sets the allowed configured grant(s) for transmission;

- *allowedPHY-PriorityIndex* which sets the allowed PHY priority index(es) of a dynamic grant for transmission;

- *allowedHARQ-DRX-LCP* which sets the allowed HARQ DRX-LCP mode of a dynamic grant for transmission.

The following UE variable is used for the Logical channel prioritization procedure:

- *Bj* which is maintained for each logical channel *j*.

The MAC entity shall initialize *Bj* of the logical channel to zero when the logical channel is established.

For each logical channel *j*, the MAC entity shall:

1> increment *Bj* by the product PBR × T before every instance of the LCP procedure, where T is the time elapsed since *Bj* was last incremented;

1> if the value of *Bj* is greater than the bucket size (i.e. PBR × BSD):

2> set *Bj* to the bucket size.

NOTE: The exact moment(s) when the UE updates *Bj* between LCP procedures is up to UE implementation, as long as *Bj* is up to date at the time when a grant is processed by LCP.

##### 5.4.3.1.2 Selection of logical channels

The MAC entity shall, when a new transmission is performed:

1> select the logical channels for each UL grant that satisfy all the following conditions:

2> the set of allowed Subcarrier Spacing index values in *allowedSCS-List*, if configured, includes the Subcarrier Spacing index associated to the UL grant; and

2> *maxPUSCH-Duration*, if configured, is larger than or equal to the PUSCH transmission duration associated to the UL grant; and

2> *configuredGrantType1Allowed*, if configured, is set to *true* in case the UL grant is a Configured Grant Type 1; and

2> *allowedServingCells*, if configured, includes the Cell information associated to the UL grant. Does not apply to logical channels associated with a DRB configured with PDCP duplication within the same MAC entity (i.e. CA duplication) when CA duplication is deactivated for this DRB in this MAC entity; and

2> *allowedCG-List*, if configured, includes the configured grant index associated to the UL grant; and

2> *allowedPHY-PriorityIndex*, if configured, includes the priority index (as specified in clause 9 of TS 38.213 [6]) associated to the dynamic UL grant; and

2> *allowedHARQ-DRX-LCP*, if configured, includes the HARQ DRX-LCP mode for the HARQ process associated to the dynamic UL grant. Does not apply if the HARQ process associated to dynamic UL grant is not configured with a DRX-LCP mode.

NOTE: The Subcarrier Spacing index, PUSCH transmission duration, Cell information, and priority index are included in Uplink transmission information received from lower layers for the corresponding scheduled uplink transmission.

##### 5.4.3.1.3 Allocation of resources

Before the successful completion of the Random Access procedure initiated for DAPS handover, the target MAC entity shall not select the logical channel(s) corresponding to non-DAPS DRB(s) for the uplink grant received in a Random Access Response or the uplink grant for the transmission of the MSGA payload. The source MAC entity shall select only the logical channel(s) corresponding to DAPS DRB(s) during DAPS handover.

The MAC entity shall, when a new transmission is performed:

1> allocate resources to the logical channels as follows:

2> logical channels selected in clause 5.4.3.1.2 for the UL grant with *Bj* > 0 are allocated resources in a decreasing priority order. If the PBR of a logical channel is set to *infinity*, the MAC entity shall allocate resources for all the data that is available for transmission on the logical channel before meeting the PBR of the lower priority logical channel(s);

2> decrement *Bj* by the total size of MAC SDUs served to logical channel *j* above;

2> if any resources remain, all the logical channels selected in clause 5.4.3.1.2 are served in a strict decreasing priority order (regardless of the value of *Bj*) until either the data for that logical channel or the UL grant is exhausted, whichever comes first. Logical channels configured with equal priority should be served equally.

NOTE 1: The value of *Bj* can be negative.

If the MAC entity is requested to simultaneously transmit multiple MAC PDUs, or if the MAC entity receives the multiple UL grants within one or more coinciding PDCCH occasions (i.e. on different Serving Cells), it is up to UE implementation in which order the grants are processed.

The UE shall also follow the rules below during the scheduling procedures above:

- the UE should not segment an RLC SDU (or partially transmitted SDU or retransmitted RLC PDU) if the whole SDU (or partially transmitted SDU or retransmitted RLC PDU) fits into the remaining resources of the associated MAC entity;

- if the UE segments an RLC SDU from the logical channel, it shall maximize the size of the segment to fill the grant of the associated MAC entity as much as possible;

- the UE should maximise the transmission of data;

- if the MAC entity is given a UL grant size that is equal to or larger than 8 bytes (when eLCID is not used) or 10 bytes (when eLCID is used) while having data available and allowed (according to clause 5.4.3.1) for transmission, the MAC entity shall not transmit only padding BSR and/or padding.

The MAC entity shall:

1> if the MAC entity is configured with *enhancedSkipUplinkTxDynamic* with value *true* and the grant indicated to the HARQ entity was addressed to a C-RNTI, or if the MAC entity is configured with *enhancedSkipUplinkTxConfigured* with value *true* and the grant indicated to the HARQ entity is a configured uplink grant:

2> if there is no UCI to be multiplexed on this PUSCH transmission as specified in TS 38.213 [6]; and

2> if there is no aperiodic CSI requested for this PUSCH transmission as specified in TS 38.212 [9]; and

2> if the MAC PDU includes zero MAC SDUs; and

2> if the MAC PDU includes only the periodic BSR and there is no data available for any LCG, or the MAC PDU includes only the padding BSR:

3> not generate a MAC PDU for the HARQ entity.

1> else if the MAC entity is configured with *skipUplinkTxDynamic* with value *true* and the grant indicated to the HARQ entity was addressed to a C-RNTI, or the grant indicated to the HARQ entity is a configured uplink grant; and

1> if there is no aperiodic CSI requested for this PUSCH transmission as specified in TS 38.212 [9]; and

1> if the MAC PDU includes zero MAC SDUs; and

1> if the MAC PDU includes only the periodic BSR and there is no data available for any LCG, or the MAC PDU includes only the padding BSR:

2> not generate a MAC PDU for the HARQ entity.

Logical channels shall be prioritised in accordance with the following order (highest priority listed first):

- C-RNTI MAC CE or data from UL-CCCH;

Editor’s note: Agreement: Logical channel priority of the TA report MAC CE should be lower than that of “C-RNTI MAC CE or data from UL-CCCH” and higher than that of “data from any Logical Channel, except data from UL-CCCH”.

Editor’s note: RAN2 further discuss the exact priority of the TA report MAC CE between “C-RNTI MAC CE or data from UL-CCCH” and “MAC CE for BSR, with exception of BSR included for padding.

- Configured Grant Confirmation MAC CE or BFR MAC CE or Multiple Entry Configured Grant Confirmation MAC CE;

- Sidelink Configured Grant Confirmation MAC CE;

- LBT failure MAC CE;

- MAC CE for SL-BSR prioritized according to clause 5.22.1.6;

- MAC CE for BSR, with exception of BSR included for padding;

- Single Entry PHR MAC CE or Multiple Entry PHR MAC CE;

- MAC CE for the number of Desired Guard Symbols;

- MAC CE for Pre-emptive BSR;

- MAC CE for SL-BSR, with exception of SL-BSR prioritized according to clause 5.22.1.6 and SL-BSR included for padding;

- data from any Logical Channel, except data from UL-CCCH;

- MAC CE for Recommended bit rate query;

- MAC CE for BSR included for padding;

- MAC CE for SL-BSR included for padding.

NOTE 2: Prioritization among Configured Grant Confirmation MAC CE, Multiple Entry Configured Grant Confirmation MAC CE, and BFR MAC CE is up to UE implementation.

The MAC entity shall prioritize any MAC CE listed in a higher order than 'data from any Logical Channel, except data from UL-CCCH' over transmission of NR sidelink communication.

<<<<<<<<<<<<<<<<<<<< Change ends >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Change begins >>>>>>>>>>>>>>>>>>>>

### 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);

Editor’s note: *Agreemen*t: Extend the timer length of sr-ProhibitTimer. Editor: details to be confirmed.

Editor’s note: *Agreement:* The extended values for sr-ProhibitTimer in NTN can include values less than UE-gNB RTT (as in legacy). FFS on the actual values and how this is extended

Editor’s note: *Agreement:* Introduce a new sr-ProhibitTimerExt-r17 IE. Values FFS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

6> increment *SR\_COUNTER* by 1;

6> start the *sr-ProhibitTimer*.

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

6> increment *SR\_COUNTER* by 1.

4> else:

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

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

5> clear any configured downlink assignments and uplink grants;

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

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

3> else:

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

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

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

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

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

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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## 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.

- *uplinkHARQ-DRX-LCP-Mode* (optional): the configuration to set the HARQ DRX-LCP mode per UL HARQ process.

Serving Cells of a MAC entity may be configured by RRC in two DRX groups with separate DRX parameters. When RRC does not configure a secondary DRX group, there is only one DRX group and all Serving Cells belong to that one DRX group. When two DRX groups are configured, each Serving Cell is uniquely assigned to either of the two groups. The DRX parameters that are separately configured for each DRX group are: *drx-onDurationTimer*, *drx-InactivityTimer*. The DRX parameters that are common to the DRX groups are: *drx-SlotOffset*, *drx-RetransmissionTimerDL*, *drx-RetransmissionTimerUL*, *drx-LongCycleStartOffset*, *drx-ShortCycle* (optional), *drx-ShortCycleTimer* (optional), *drx-HARQ-RTT-TimerDL*, *drx-HARQ-RTT-TimerUL,* and *uplinkHARQ-DRX-LCP-Mode* (optional).

When DRX 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> if MAC PDU is received from a non-terrestrial network; and

2> if the MAC entity is configured with *downlinkHARQ-FeedbackDisabled* and DL HARQ feedback is enabled for the corresponding HARQ process:

3> set *drx-HARQ-RTT-TimerDL* length to *drx-HARQ-RTT-TimerDL* included in *DRX-Config* plus UE-gNB RTT for the corresponding HARQ process.

2> else:

3> set *drx-HARQ-RTT-TimerDL* length to *drx-HARQ-RTT-TimerDL* included in *DRX-Config* for the corresponding HARQ process*.*

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 transmission (within a bundle) of the corresponding PUSCH transmission;

Editor’s note: *drx-HARQ-RTT-TimerUL* behaviour is controlled via configuration of a HARQ state, however current agreements specify that network may optionally configure UL HARQ retransmission state “For at least dynamic grants”. RAN2 to confirm whether such states may also apply for configured uplink grants (at least for control of DRX timers).

2> stop the *drx-RetransmissionTimerUL* for the corresponding HARQ process at the first transmission (within a bundle) of the corresponding PUSCH transmission.

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*.

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

2> stop *drx-onDurationTimer* for each DRX group;

2> stop *drx-InactivityTimer* for each DRX group.

1> if *drx-InactivityTimer* for a 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 each DRX group in the first symbol after the end of DRX Command MAC CE reception;

3> use the Short DRX cycle for each DRX group.

2> else:

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

1> if *drx-ShortCycleTimer* for a DRX group expires:

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

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

2> stop *drx-ShortCycleTimer* for each DRX group;

2> use the Long DRX cycle for each DRX group.

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

2> start *drx-onDurationTimer* for this DRX group after *drx-SlotOffset* from the beginning of the subframe.

1> if the Long DRX cycle is used for a DRX group, 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 during a measurement gap, or when the MAC entity monitors for a PDCCH transmission on the search space indicated by *recoverySearchSpaceId* of the SpCell identified by the C-RNTI while the *ra-ResponseWindow* is running (as specified in clause 5.1.4); 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* for this DRX group 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 a 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> if DL transmission is from a non-terrestrial network; and

3> if the MAC entity is configured with *downlinkHARQ-FeedbackDisabled* and DL HARQ feedback is enabled for the corresponding HARQ process:

4> set *drx-HARQ-RTT-TimerDL* length to *drx-HARQ-RTT-TimerDL* included in *DRX-Config* plus UE-gNB RTT for the corresponding HARQ process.

3> else:

4> set *drx-HARQ-RTT-TimerDL* length to *drx-HARQ-RTT-TimerDL* included in *DRX-Config* for the corresponding HARQ process*.*

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 (end of the last) PDSCH transmission (within a bundle) for the corresponding HARQ process.

2> if the PDCCH indicates a UL transmission:

3> if *uplinkHARQ-DRX-LCP-Mode* is configured and the corresponding HARQ process is configured as DRX-LCP Mode A:

4> set *drx-HARQ-RTT-TimerUL* length to *drx-HARQ-RTT-TimerUL* included in *DRX-Config* plus UE-gNB RTT for the corresponding HARQ process.

3> else:

4> set *drx-HARQ-RTT-TimerUL* length to *drx-HARQ-RTT-TimerUL* included in *DRX-Config* for the corresponding HARQ process*.*

3> if *uplinkHARQ-DRX-LCP-Mode* is not configured for the corresponding HARQ process; or

3> if *uplinkHARQ-DRX-LCP-Mode* is configured and the corresponding HARQ process is configured as DRX-LCP Mode A:

4> start the *drx-HARQ-RTT-TimerUL* for the corresponding HARQ process in the first symbol after the end of the first transmission (within a bundle) 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.

NOTE 3a: A PDCCH indicating activation of SPS or configured grant type 2 is considered to indicate a new transmission.

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 a 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 a 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 PUCCH in this DRX group.

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 either outside DRX Active Time of the DRX group in which this PUCCH is configured or outside the on-duration period of the DRX group in which this PUCCH is configured if CSI masking is setup by upper layers, 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 a 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 the 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).

<<<<<<<<<<<<<<<<<<<< Change ends >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Change begins >>>>>>>>>>>>>>>>>>>>

## 5.XX UE-Specific TA reporting

The UE may be configured to report information about UE specific timing advance during a Random Access procedure not due to SI request and/or when in RRC\_CONNECTED.

During Random Access procedure not due to SI request, the UE may be configured to report UE specific TA value using the UE-Specific TA Report MAC CE. Reporting of the UE-specific TA is controlled by *enableTA-Report* included in system information.

Editor’s note: Event-triggers for reporting information about UE specific TA in connected mode is supported and are based on TA values. A TA offset threshold can be used for event-triggered reporting, at least the offset threshold can be between current information about UE specific TA and the last successfully reported information about UE specific TA.

Editor’s note: The above requires RAN1 confirmation and can be revisited pending RAN1 conclusions.

Editor’s note: If the reported content of information about UE specific TA is UE location information in connected mode, RRC signalling is used to report.

Editor’s note: Agreement: Under the work assumption "the UE location information cannot be reported in connected mode", the content of UE specific TA reported in connected mode is UE specific TA pre-compensation(for the details of the TA value, confirmation from RAN1 is needed).

Editor’s note: Agreement: Under the work assumption "the UE location information can be reported in connected mode", for TA reporting purposes in connected mode, the network can configure the UE to send either the UE specific TA pre-compensation (for the details of the TA value, confirmation from RAN1 is needed) or the UE location information

Editor’s note: Agreement: If the reported content of information about UE specific TA is TA pre-compensation value in connected mode, MAC CE is used to report

Editor’s note: Agreement: In case UE location information can be reported to network, dedicated signaling is used to configure UE to report the UE location and/or the UE specific TA information for the purpose of TA reporting in connected mode. FFS if both mechanisms are needed in parallel

<<<<<<<<<<<<<<<<<<<< Seventh change ends >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Eigth change begins >>>>>>>>>>>>>>>>>>>>

# 6 Protocol Data Units, formats and parameters

<<<<<<<<<<<<<<<<<<<< unchanged text omitted >>>>>>>>>>>>>>>>>>>>

### 6.1.3 MAC Control Elements (CEs)

#### 6.1.3.XX UE-Specific TA Report MAC CE

The UE-Specific TA Report MAC CE is identified by MAC subheader with LCID as specified in Table 6.2.1-2.

It has a fixed size and consists of a single field defined as follows (Figure 6.1.3.X-X):

- UE-specific TA: This field contains the UE estimate of the UE-specific TA. The length of the field is XX bits

Figure 6.1.3.X-X: UE-Specific TA Report MAC CE

Editor’s note: Details and content of UE-Specific TA Report MAC CE require confirmation from RAN1 and will be revisited pending RAN1 conclusions.

<<<<<<<<<<<<<<<<<<<< End of change >>>>>>>>>>>>>>>>>>>>

<<<<<<<<<<<<<<<<<<<< Beginning of change >>>>>>>>>>>>>>>>>>>>

## 6.2 Formats and parameters

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

The MAC subheader consists of the following fields:

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

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

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

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

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

- R: Reserved bit, set to 0.

The MAC subheader is octet aligned.

Table 6.2.1-1 Values of LCID for DL-SCH

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

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

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

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

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

Table 6.2.1-2 Values of LCID for UL-SCH

|  |  |
| --- | --- |
| Codepoint/Index | LCID values |
| 0 | CCCH of size 64 bits (referred to as "CCCH1" in TS 38.331 [5]) |
| 1–32 | Identity of the logical channel |
| 33 | Extended logical channel ID field (two-octet eLCID field) |
| 34 | Extended logical channel ID field (one-octet eLCID field) |
| 35–44 | Reserved |
| XX | UE-specific TA Report |
| 45 | Truncated Sidelink BSR |
| 46 | Sidelink BSR |
| 47 | Reserved |
| 48 | LBT failure (four octets) |
| 49 | LBT failure (one octet) |
| 50 | BFR (one octet Ci) |
| 51 | Truncated BFR (one octet Ci) |
| 52 | CCCH of size 48 bits (referred to as "CCCH" in TS 38.331 [5]) |
| 53 | Recommended bit rate query |
| 54 | Multiple Entry PHR (four octets Ci) |
| 55 | Configured Grant Confirmation |
| 56 | Multiple Entry PHR (one octet Ci) |
| 57 | Single Entry PHR |
| 58 | C-RNTI |
| 59 | Short Truncated BSR |
| 60 | Long Truncated BSR |
| 61 | Short BSR |
| 62 | Long BSR |
| 63 | Padding |

Editor’s note: Reserved LCID is used for the TA report MAC CE.

Table 6.2.1-2a Values of two-octet eLCID for UL-SCH

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

Table 6.2.1-2b Values of one-octet eLCID for UL-SCH

|  |  |  |
| --- | --- | --- |
| Codepoint | Index | LCID values |
| 0 to 249 | 64 to 313 | Reserved |
| 250 | 314 | BFR (four octets Ci) |
| 251 | 315 | Truncated BFR (four octets Ci) |
| 252 | 316 | Multiple Entry Configured Grant Confirmation |
| 253 | 317 | Sidelink Configured Grant Confirmation |
| 254 | 318 | Desired Guard Symbols |
| 255 | 319 | Pre-emptive BSR |

<<<<<<<<<<<<<<<<<<<< End of change >>>>>>>>>>>>>>>>>>>>

# Annex – Agreements

### RAN2#116-e Agreements

Enhancements for RA type selection in NTN will not be pursued in Rel-17. FFS for BSR

Do not mandate Msg3/MsgA or Msg5 to include TA report MAC CE, and whether it can be included depends on the TB size of Msg3/MsgA or Msg5. No spec change is needed for this

Reserved LCID is used for the TA report MAC CE.

Postpone the discussion on the size of the TA report MAC CE until RAN2 concludes on the content of TA report.

RAN2 do not pursue any enhancements to allow inclusion of TA information without extending Msg3 size.

Logical channel priority of the TA report MAC CE should be lower than that of “C-RNTI MAC CE or data from UL-CCCH” and higher than that of “data from any Logical Channel, except data from UL-CCCH”.

Do not introduce additional enhancement on BSR over 2-step RACH in Rel-17.

RAN2 further discuss the exact priority of the TA report MAC CE between “C-RNTI MAC CE or data from UL-CCCH” and “MAC CE for BSR, with exception of BSR included for padding

If the reported content of information about UE specific TA is TA pre-compensation value in connected mode, MAC CE is used to report

In case UE location information can be reported to network, dedicated signaling is used to configure UE to report the UE location and/or the UE specific TA information for the purpose of TA reporting in connected mode. FFS if both mechanisms are needed in parallel

The extended values for sr-ProhibitTimer in NTN can include values less than UE-gNB RTT (as in legacy). FFS on the actual values and how this is extended

RRC parameter “allowedHARQ-DRX-LCP” is included in LogicalChannelConfig (FFS on the actual name of the parameter)

configuredGrantTimer can be extended in NTN. FFS details of when extension is applicable and method of extention.

The ConfiguredGrantConfiguration shall allow for up to 32 in nrofHARQ-Processes, and up to 31 in harq-ProcID-Offset and harq-ProcID-Offset2.

The SPS-Config shall allow up to 32 for nrofHARQ-Processes, and up to 31 in harq-ProcID-Offset.

HARQ feedback shall always be sent for SPS deactivation (i.e. regardless of HARQ feedback enabled/disabled).

For HARQ process(es) not configured with DL HARQ feedback enabled/disabled, drx-HARQ-RTT-TimerDL behaves as per legacy.

Introduce a new sr-ProhibitTimerExt-r17 IE. Values FFS

If uplinkHARQ-DRX-LCP-Mode-r17 is configured, a HARQ process may be mapped to either ‘HARQ mode A’ or ‘HARQ mode B’.

uplinkHARQ-DRX-Mode shall be included in PUSCH-ServingCellConfig.

For at least dynamic grants, if uplinkHARQ-DRX-LCP-Mode-r17 is configured, the following LCH to HARQ process mapping rules are supported:

1) LCH is mapped only to a HARQ process configured with HARQ mode A;

2) LCH is mapped only to a HARQ process configured with HARQ mode B;

3) If an LCH is not configured with a mapping rule, it may be mapped to any HARQ process (HARQ mode A or B).

downlinkHARQ-FeedbackDisabled shall be included in PDSCH-ServingCellConfig.

### RAN2#115-e Agreements

UE specific TA reporting during RACH procedure is enabled/disabled by SI (FFS for RACH in connected mode)

In the MAC specification section 5.1.5, delay the start of ra-ContentionResolutionTimer by the UE-gNB RTT (i.e. sum of UE's TA and K\_mac)

The content of UE specific TA pre-compensation reported in RA procedure using MAC CE is UE specific TA (this can be revisited after receiving RAN1 response).

Reporting on the information about UE specific TA in connected mode is supported, FFS via RRC signalling or MAC CE

Event-triggers for reporting on the information about UE specific TA in connected mode is supported. FFS on the details. Confirmation by RAN1 is also needed

If configured, the UE shall report information of the UE specific TA pre-compensation to the target cell during the random access. FFS if a new indication in RRC reconfiguration with sync is needed or not (besides the SIB indication carried in HO command on whether TA report is enabled/disabled in the target cell).

Information about UE specific TA pre-compensation is not reported in RA procedures triggered due to “Request for Other SI”

The event-triggers for reporting information about UE specific TA are based on TA values (confirmation from RAN1 is needed)

A TA offset threshold can be used for event-triggered reporting, at least the offset threshold can be between current information about UE specific TA and the last successfully reported information about UE specific TA

The event-triggers for reporting information about UE specific TA based on time threshold is not supported in NTN.

No new indication in RRC reconfiguration with sync is needed to configure the UE to report information about UE specific TA in handover procedure (besides the SIB indication carried in HO command on whether TA report is enabled/disabled in the target cell).

Under the work assumption "the UE location information cannot be reported in connected mode", the content of UE specific TA reported in connected mode is UE specific TA pre-compensation(for the details of the TA value, confirmation from RAN1 is needed).

If the reported content of information about UE specific TA is UE location information in connected mode, RRC signalling is used to report.

Under the work assumption "the UE location information can be reported in connected mode", for TA reporting purposes in connected mode, the network can configure the UE to send either the UE specific TA pre-compensation (for the details of the TA value, confirmation from RAN1 is needed) or the UE location information

Working Assumption: If the reported content of information about UE specific TA is TA pre-compensation value in connected mode, MAC CE is used to report

Confirm the RAN2 working assumption that offset to drx-HARQ-RTT-TimerUL length is equal to UE-gNB RTT (i.e. sum on UE's TA and K\_mac).

Confirm the RAN2 working assumption that for HARQ processes with DL HARQ feedback enabled, the drx-HARQ-RTT-TimerDL length is increased by an offset equal to UE-gNB RTT (i.e. sum on UE's TA and K\_mac).

No new LCP restrictions are introduced for exisiting UL MAC CEs (if new MAC CEs will be introduced we can revisit this)

For dynamic grants, each LCH can optionally be semi statically configured (by RRC) to be mapped to one or more HARQ processes (FFS if it's possible to map to more than one HARQ process/ process type. FFS on mapping method). If there is no RRC configuration for this, this mapping has no effect (legacy behaviour applies).

For at least dynamic grants, the network may optionally configure an UL HARQ retransmission state per HARQ process. Two UL HARQ retransmission states are defined in NTN: HARQ state A and HARQ state B (FFS whether "HARQ state A" and "HARQ state B" should be renamed)

HARQ state A/B are defined as follows:

* HARQ state A: length of drx-HARQ-RTT-TimerUL is extended by UE-gNB RTT (i.e. UE PDCCH monitoring is optimized to support UL retransmission grant based on UL decoding result).
* HARQ state B: drx-HARQ-RTT-TimerUL is not started.

Configuration of UL HARQ retransmission state is semi-static, signalled via RRC, and the decision and criteria to configure UL HARQ retransmission state is under network control.

For dynamic grants, each LCH can be optionally mapped to an UL HARQ retransmission state via semi-static RRC configuration. If there is no configuration, the mapping has no effect (legacy behaviour applies).

If HARQ process has not been configured with an UL HARQ retransmission state, new LCH mapping rule has no effect (i.e. UE applies legacy behaviour).

The following behaviours are supported for drx-HARQ-RTT-TimerUL in NTN per HARQ process: 1) Timer length is extended by offset; 2) Timer disabled (i.e. not started)

UE determines drx-HARQ-RTT-TimerUL behaviour per HARQ process based on configured UL HARQ retransmission state.

For HARQ process(es) not configured with an UL HARQ retransmission state, drx-HARQ-RTT-TimerUL and drx-RetransmissionTimerUL behave as per legacy.

An UL HARQ retransmission state is configured per HARQ process to support new LCH mapping restriction and proper configuration of drx-HARQ-RTT-TimerUL behaviour.

The network may consider delay and reliability characteristics of ongoing services when choosing to configure an UL HARQ retransmission state.

Alternative naming for HARQ state A/B can be further considered during stage 3, however UE behaviour in each state should be defined in specification.

RAN2 understanding is that UE behaviour in HARQ state A (i.e. extending the drx-HARQ-RTT-TimerUL by UE-gNB RTT) best supports reception of UL retransmission grant based on UL decoding result. (No RAN2 specification impact)

RAN2 understanding is that UE behaviour in HARQ state B (i.e. not starting drx-HARQ-RTT-TimerUL) best supports no UL retransmission and/or blind UL retransmission. (No RAN2 specification impact)

For HARQ state B, FFS to run drx-RetransmissionTimerUL for blind UL retransmission

UE configured with an UL HARQ retransmission state (i.e. A or B) will always act as indicated in a grant/assignment provided during a valid occasion (i.e. subject to legacy restrictions in e.g. MAC and RAN1 specifications). (No RAN2 specification impact)

### RAN2#114-e Agreements

If enabled by the network, the UE reports information about UE specific TA pre-compensation at the random access procedure (MSGA/MSG3 or MSG5) using a MAC CE. Actual content is FFS and also depends on further RAN1 input (we can revise this whole agreement if RAN1 come to a different conclusion in terms of what needs to be conveyed to the NW)

The following options are supported for drx-HARQ-RTT-TimerUL in NTN per HARQ process: 1) Timer length is extended by offset; 2) Timer set to zero and/or 3) Timer disabled (i.e. not started). FFS if this is based on explicit configuration or not. We can also come back to see whether both 2 and 3 are needed.

RAN2 working assumption: Offset for drx-HARQ-RTT-TimerUL is equal to UE-gNB RTT (if RAN1 decides something that requires to change this we can revisit it). drx-RetransmissionTimerDL timer length is not extended in NTN

The drx-HARQ-RTT-TimerUL behaviour applied for each HARQ process is up to the network (e.g. to support NW scheduling strategy to avoid HARQ stalling).

RAN2 Working Assumption: No new CG-specific LCP restriction is introduced for NTN. If a new LCP restriction is agreed for dynamic grant, the proposal does not preclude future discussion on whether it may also apply to configured grant

Repetition transmission based HARQ retransmission is always allowed and is explicitly indicated per HARQ process via DCI (as in legacy).

At least the following options for LCP in NTN are further studied: 1) allowedPHY-PriorityIndex is re-used; and 2) A new LCP restriction is introduced to map LCH to one or more HARQ process(es). FFS if HARQ processes can be classified as having retransmission “enabled” or “disabled” in this case.

### RAN2#113bis-e Agreements

Legacy mechanism for RA type selection based on RSRP threshold is the baseline for NTN. Optimizations can still be suggested, showing the gain (in any case, any method needs to be combined with RSRP based approach)

Reuse legacy RA type switching mechanism

Extend the timer length of sr-ProhibitTimer (FFS on the details)

RAN2 wait for RAN1’s feedback on UE obtaining UE-gNB RTT.

RAN2 wait for RAN1’s progress and postpone the discussion on how to broadcast parameters, if any, for TA pre-compensation.

RAN2 send an LS to RAN1, focusing on below aspects:

* Ask RAN1 to prioritize the TA pre-compensation work on whether and/or what parameters to broadcast for TA pre-compensation, and when broadcasted, how often the broadcasted parameters are expected to change over time;
* RAN2 has agreed to use UE-gNB RTT as the offset to start some UP timers (e.g. drx-HARQ-RTT-TimerDL). Ask RAN1 to provide inputs on (i) how UE acquires UE-gNB RTT and (ii) what additional information needs to be broadcasted other than that for TA pre-compensation, if any.

At least for uplink scheduling adaptations, the UE may report information about the UE specific TA pre-compensation. The exact information and frequency of reports depend on RAN1 outcome. FFS on when/how to report.

It is FFS whether the UE reports the UE specific TA pre-compensation at the RACH procedure (MSG3 or MSG5) using a MAC CE. Actual content is FFS and also depends on further RAN1 input. Configurability is FFS

It is NW scheduling strategy to avoid NTN UE in HARQ stalling state. From RAN2 perspective, the NW can continuously schedule the UE using one or a combination of scheduling strategies, such as without HARQ retransmissions, or with blind retransmissions, or with HARQ retransmissions based on DL HARQ feedback (or UL decoding result).

RAN2 confirms that in NTN if the UE is in DRX Active Time for any reason, the UE should monitor the PDCCH regardless of whether drx-HARQ-RTT-TimerUL or drx-HARQ-RTT-TimerDL is running or not. No specification change is needed.

RAN2 confirms that in NTN using the value= “zero” for drx-HARQ-RTT-TimerUL and drx-RetransmissionTimerUL is possible. No specification change is needed.

In NTN, The drx-HARQ-RTT-TimerUL is configured per UE DRX group and the behaviour can be configured per HARQ process. FFS the different behaviours and how to indicate the behaviour to the UE and the number of behaviours (e.g., two or more behaviours).

LCP restrictions should be further considered for an UL HARQ process in NTN. FFS if no further LCP restrictions are needed, or if (R16) existing LCP restrictions can be re-used or if new LCP restriction shall be defined for this purpose.

### RAN2#113-e Agreements

Both Type 1 and Type 2 configured grant are feasible in NTN.

From RAN2’s perspective, no need to modify parameter periodicity of IE ConfiguredGrantConfig to support NTN.

No need to modify maxNrofConfiguredGrantConfig-r16 and maxNrofConfiguredGrantConfigMAC-r16 to support NTN.

UE in NTN can have both 2-step RACH and configured grant configurations at the same time.

For HARQ processes with DL HARQ feedback disabled, drx-HARQ-RTT-TimerDL is not started.

FFS: method(s) to support blind retransmission for HARQ processes with HARQ feedback disabled.

From RAN2 perspective, for HARQ processes where gNB can sends UL grant without waiting for decoding result of previous PUSCH transmission, no new network scheduling restrictions are introduced to schedule subsequent grants (i.e. up to network implementation. (Can come back if we don't find an agreement on p8)

For HARQ processes with DL HARQ feedback enabled, drx-HARQ-RTT-TimerDL length is increased by offset (i.e. existing values within value range increased by offset). RAN2 working assumption: offset is equal to UE-gNB RTT (if RAN1 decides something that requires to change this we can revisit it)

### RAN2#112-e Agreements

RAN2 working assumption (for RRC idle. FFS for Inactive/Connected): Rel-17 UE with pre-compensation capability obtains UE specific UE-gNB RTT based on its GNSS in LEO/GEO. FFS how this is calculated and what/if anything needs to be broadcasted for the different pre-compensation methods (e.g. common TA) to help the UE to obtain the full UE-gNB RTT.

If the UE-gNB RTT is pre-compensated, preamble ambiguity is not an issue in Rel-17 NTN (i.e. no enhancements are necessary). FFS how and by whom the possibly multiple components of UE-gNB RTT are pre-compensated

From RAN2 perspective, for UE with UE-specific pre-compensation as a baseline it is up to gNB implementation to ensure sufficient time on UE side for the Msg3 transmission.

For UE with pre-compensation capability (at least for the HARQ-feedback enabled case. FFS for HARQ-feedback disabled, if supported), drx-HARQ-RTT-TimerDL is offset by UE-specific RTT (UE-gNB delay) in LEO/GEO. FFS if offset is applied to: 1) the start of the timers or 2) the timer value range (i.e. existing values within value range increased by offset)

From RAN2 perspective, for dynamic grant, one possibility for "enabling"/"disabling" HARQ uplink retransmission at UE transmitter is without introducing an additional mechanism (i.e. gNB can send grant with NDI not toggled/toggled without waiting for decoding result of previous PUSCH transmission). FFS on the handling of RTT timers. Other solutions for enabling/disabling HARQ UL reTX are not precluded

If the start of the ra-ResponseWindow and msgB-ResponseWindow is accurately compensated by UE-gNB RTT, ra-ResponseWindow and msgB-ResponseWindow are not extended in LEO/GEO.

At least the following are FFS in Rel-17 NTN:

• Report UE-calculated TA in e.g. msg3/msg5/msgA

• Enhancements to RSRP-based selection mechanism of 2-step vs. 4-step RACH

• LCP impact caused by disabling HARQ UL retransmission

RAN2 decision on starting ra-ContentionResolutionTimer, ra-ResponseWindow and msgB-ResponseWindow is postponed until further progress in RAN1 regarding UE pre-compensation method and TA estimation accuracy.

### RAN2#111-e Agreements

From RAN2 perspective, an offset is applied to the start of ra-ResponseWindow in NTN for both LEO and GEO scenarios.

An offset to the start of the ra-ContentionResolutionTimer is introduced for both LEO and GEO scenarios.

Modification of drx-LongCycleStartOffset, drx-StartOffset, drx-ShortCycle, drx-ShortCycleTimer, drx-onDurationTimer, drx-SlotOffset and drx-InactivityTimer is not needed in Rel-17 NTN.

From a RAN2 perspective, for DL, HARQ feedback can be enabled/disabled in Rel-17 NTN, but HARQ processes remain configured. The criteria and decision to enable/disable HARQ feedback is under network control and is signalled to the UE via RRC in a semi-static manner. FFS for UL

At least the following methods to enhance UL scheduling are further studied in NTN: configured grant and BSR over 2-step RACH. (other solutions to enhance UL scheduling are not precluded)

Both 2-step and 4-step RACH are supported in Rel-17 NTN. FFS enhancements to RACH to accommodate the NTN environment.