**3GPP TSG RAN2 Meeting #116bis-e *R2-22xxxxx***

**Electronic, 17th – 25th November, 2022**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.321** | **CR** | **Draft** | **rev** |  | **Current version:** | **16.7.0** |  |
|  | | | | | | | | |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
|  | | | | | | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| ***Title:*** | MAC Running CR for Rel-17 IIoT/URLLC | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Samsung | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_IIOT\_URLLC\_enh | | | | |  | ***Date:*** | | | 2022-01-27 |
|  |  | | | |  | |  | | |  |
| ***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:*** | | RAN2 agreements with MAC impacts for IIoT/URLLC should be captured. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | RAN2 agreements up to RAN2#116bis-e are captured. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | New MAC functions for Rel-17 IIoT/URLLC are not supported. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.4.1, 5.4.4, 5.8.2, 5.10 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS/TR ... CR ...to be updated | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

## 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.

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;

3> if a logical channel associated with a DRB configured with *pdcp-DuplicationByDCI/survivalTimeSupport* is multiplexed in the MAC PDU stored in the HARQ buffer:

4> trigger activation of PDCP duplication/entry to Survival Time State for the DRB.

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.

Editor’s Note: Configuration *pdcp-DuplicationByDCI/survivalTimeSupport* should be aligned with RRC CR.

Editor’s Note: RAN2 to decide whether to use “Survival Time State” in the MAC spec.

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

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

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

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

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

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

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

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

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

4> consider the NDI bit to have been toggled;

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

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

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

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

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

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

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

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

For configured uplink grants configured with *cg-RetransmissionTimer*, the UE implementation selects an HARQ Process ID among the HARQ process IDs available for the configured grant configuration. If the MAC entity is configured with *intraCG-Prioritization*, for HARQ Process ID selection, the UE shall prioritize the HARQ Process ID with the highest priority, where the priority of HARQ process is determined by the highest priority among priorities of the logical channels that are multiplexed (i.e. the MAC PDU to transmit is already stored in the HARQ buffer) or have data available that can be multiplexed (i.e. the MAC PDU to transmit is not stored in the HARQ buffer) in the MAC PDU, according to the mapping restrictions as described in clause 5.4.3.1.2. If the MAC entity is configured with *intraCG-Prioritization*, for HARQ Process ID selection among initial transmission and retransmission with equal priority, the UE shall prioritize retransmissions before initial transmissions. The priority of a HARQ Process for which no data for logical channels is multiplexed or can be multiplexed in the MAC PDU is lower than the priority of a HARQ Process for which data for any logical channels is multiplexed or can be multiplexed in the MAC PDU. If the MAC entity is not configured with *intraCG-Prioritization*, for HARQ Process ID selection, the UE shall prioritize retransmissions before initial transmissions. The UE shall toggle the NDI in the CG-UCI for new transmissions and not toggle the NDI in the CG-UCI in retransmissions.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 5.4.2 HARQ operation

#### 5.4.2.1 HARQ Entity

The MAC entity includes a HARQ entity for each Serving Cell with configured uplink (including the case when it is configured with *supplementaryUplink*), which maintains a number of parallel HARQ processes.

The number of parallel UL HARQ processes per HARQ entity is specified in TS 38.214 [7].

Each HARQ process supports one TB.

Each HARQ process is associated with a HARQ process identifier. For UL transmission with UL grant in RA Response or for UL transmission for MSGA payload, HARQ process identifier 0 is used.

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

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

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

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

If *REPETITION\_NUMBER* > 1, after the first transmission within a bundle, at most *REPETITION\_NUMBER* – 1 HARQ retransmissions follow within the bundle. For both dynamic grant and configured uplink grant, bundling operation relies on the HARQ entity for invoking the same HARQ process for each transmission that is part of the same bundle. Within a bundle, HARQ retransmissions are triggered without waiting for feedback from previous transmission according to *REPETITION\_NUMBER* for a dynamic grant or configured uplink grant unless they are terminated as specified in clause 6.1 of TS 38.214 [7]. Each transmission within a bundle is a separate uplink grant delivered to the HARQ entity.

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

For each uplink grant, the HARQ entity shall:

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

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

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

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

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

2> if the uplink grant was received on PDCCH for the C-RNTI in *ra-ResponseWindow* and this PDCCH successfully completed the Random Access procedure initiated for beam failure recovery; or

2> if the uplink grant is part of a bundle of the configured uplink grant, and may be used for initial transmission according to clause 6.1.2.3 of TS 38.214 [7], and if no MAC PDU has been obtained for this bundle:

3> if there is a MAC PDU in the MSGA buffer and the uplink grant determined as specified in clause 5.1.2a for the transmission of the MSGA payload was selected; or

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

4> obtain the MAC PDU to transmit from the MSGA buffer.

3> else if there is a MAC PDU in the Msg3 buffer and the uplink grant was received in a fallbackRAR:

4> obtain the MAC PDU to transmit from the Msg3 buffer.

3> else if there is a MAC PDU in the Msg3 buffer and the uplink grant was received in a MAC RAR; or:

3> if there is a MAC PDU in the Msg3 buffer and the uplink grant was received on PDCCH for the C-RNTI in *ra-ResponseWindow* and this PDCCH successfully completed the Random Access procedure initiated for beam failure recovery:

4> obtain the MAC PDU to transmit from the Msg3 buffer.

4> if the uplink grant size does not match with size of the obtained MAC PDU; and

4> if the Random Access procedure was successfully completed upon receiving the uplink grant:

5> indicate to the Multiplexing and assembly entity to include MAC subPDU(s) carrying MAC SDU from the obtained MAC PDU in the subsequent uplink transmission;

5> obtain the MAC PDU to transmit from the Multiplexing and assembly entity.

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

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

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

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

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

4> consider the MAC PDU has been obtained.

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

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

4> obtain the MAC PDU to transmit from the Multiplexing and assembly entity, if any;

3> if a MAC PDU to transmit has been obtained:

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

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

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

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

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

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

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

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

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

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

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

6> consider the identified HARQ process as pending.

3> else:

4> flush the HARQ buffer of the identified HARQ process.

2> else (i.e. retransmission):

3> if the uplink grant received on PDCCH was addressed to CS-RNTI and if the HARQ buffer of the identified process is empty; or

3> if the uplink grant is part of a bundle and if no MAC PDU has been obtained for this bundle; or

3> if the uplink grant is part of a bundle of the configured uplink grant, and the PUSCH duration of the uplink grant overlaps with an uplink grant received in a Random Access Response (i.e. MAC RAR or fallbackRAR) or an uplink grant determined as specified in clause 5.1.2a for MSGA payload for this Serving Cell; or:

3> if the MAC entity is not configured with *lch-basedPrioritization* and this uplink grant is part of a bundle of the configured uplink grant, and the PUSCH duration of the uplink grant overlaps with a PUSCH duration of another uplink grant received on the PDCCH; or:

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

4> ignore the uplink grant.

3> else:

4> deliver the uplink grant and the HARQ information (redundancy version) of the TB to the identified HARQ process;

4> instruct the identified HARQ process to trigger a retransmission;

4> if the uplink grant is addressed to CS-RNTI; or

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

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

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

5> if the identified HARQ process is pending:

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

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

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

5> consider the identified HARQ process as not pending.

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

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

#### 5.4.2.2 HARQ process

Each HARQ process is associated with a HARQ buffer.

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

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

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

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

- the HARQ buffer for this HARQ process is flushed.

If the HARQ entity requests a new transmission for a TB, the HARQ process shall:

1> store the MAC PDU in the associated HARQ buffer;

1> store the uplink grant received from the HARQ entity;

1> generate a transmission as described below.

If the HARQ entity requests a retransmission for a TB, the HARQ process shall:

1> store the uplink grant received from the HARQ entity;

1> generate a transmission as described below.

To generate a transmission for a TB, the HARQ process shall:

1> if the MAC PDU was obtained from the Msg3 buffer; or

1> if the MAC PDU was obtained from the MSGA buffer; or

1> if there is no measurement gap at the time of the transmission and, in case of retransmission, the retransmission does not collide with a transmission for a MAC PDU obtained from the Msg3 buffer or the MSGA buffer:

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

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

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

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

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

1> if acknowledgement is indicated:

2> stop the *configuredGrantTimer*, if running.

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

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

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

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

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

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

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

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

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

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

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

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

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

### 5.4.4 Scheduling Request

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

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

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

RRC configures the following parameters for the scheduling request procedure:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3> if both *sl-PrioritizationThres* and *ul-PrioritizationThres* are configured and the PUCCH resource for the SR transmission occasion for the pending SR triggered as specified in clause 5.22.1.5 overlaps with any UL-SCH resource(s) carrying a MAC PDU, and the value of the priority of the triggered SR determined as specified in clause 5.22.1.5 is lower than *sl-PrioritizationThres* and the value of the highest priority of the logical channel(s) in the MAC PDU is higher than or equal to *ul-PrioritizationThres* and any MAC CE prioritized as described in clause 5.4.3.1.3 is not included in the MAC PDU 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).

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

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

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

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

6> increment *SR\_COUNTER* by 1;

6> start the *sr-ProhibitTimer*.

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

6> increment *SR\_COUNTER* by 1.

4> else:

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

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

5> clear any configured downlink assignments and uplink grants;

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

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

3> else:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 5.8.2 Uplink

There are two types of transmission without dynamic grant:

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

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

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

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

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

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

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

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

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

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

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

- *timeReferenceSFN*: SFN used for determination of the offset of a resource in time domain. The UE uses the closest SFN with the indicated number preceding the reception of the configured grant configuration.

RRC configures the following parameters when the configured grant Type 2 is configured:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The MAC entity shall:

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

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

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

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

2> else:

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

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

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

Retransmissions use:

- repetition of configured uplink grants; or

- received uplink grants addressed to CS-RNTI; or

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

## 5.10 Activation/Deactivation of PDCP duplication

If one or more DRBs are configured with PDCP duplication, the network may activate and deactivate the PDCP duplication for all or a subset of associated RLC entities for the configured DRB(s).

The PDCP duplication for the configured DRB(s) is activated and deactivated by:

- receiving the Duplication Activation/Deactivation MAC CE described in clause 6.1.3.11;

- receiving the Duplication RLC Activation/Deactivation MAC CE described in clause 6.1.3.32;

- indication by RRC;

- receiving an uplink grant addressed to CS-RNTI with NDI=1 described in 5.4.1.

The PDCP duplication for all or a subset of associated RLC entities for the configured DRB(s) is activated and deactivated by:

- receiving the Duplication RLC Activation/Deactivation MAC CE described in clause 6.1.3.32;

- indication by RRC;

- receiving an uplink grant addressed to CS-RNTI with NDI=1 described in 5.4.1.

The MAC entity shall for each DRB configured with PDCP duplication:

1> if a Duplication Activation/Deactivation MAC CE is received activating the PDCP duplication of the DRB:

2> indicate the activation of PDCP duplication of the DRB to upper layers.

1> if a Duplication Activation/Deactivation MAC CE is received deactivating the PDCP duplication of the DRB:

2> indicate the deactivation of PDCP duplication of the DRB to upper layers.

1> if a Duplication RLC Activation/Deactivation MAC CE is received activating PDCP duplication for associated RLC entities of a DRB configured with PDCP duplication:

2> indicate the activation of PDCP duplication for the indicated secondary RLC entity(ies) of the DRB to upper layers.

1> if a Duplication RLC Activation/Deactivation MAC CE is received deactivating PDCP duplication for associated RLC entities of a DRB configured with PDCP duplication:

2> indicate the deactivation of PDCP duplication for the indicated secondary RLC entity(ies) of the DRB to upper layers.

1> if a PDCP duplication/entry to Survival Time State is triggered for the DRB as specified in clause 5.4.1:

2> indicate the activation of PDCP duplication for all configured RLC entities of the DRB to upper layers.

# Annex: RAN2 Agreements

Captured by MAC CR

RAN2#111-e

Enhancements for support of time synchronization

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

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

RAN2#112-e

Enhancements for support of time synchronization

**Agreements**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

• Scenario 3: ±100ns (NetworkScenario3)

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

• Scenario 1: ±595ns to ±725ns

• Scenario 2: ±145ns to ±275ns

• Scenario 3: ±795ns to ±845ns

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

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

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements:**

**From RAN2 perspective**

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

2 cg-RetransmissionTimer can be configured optionally for shared spectrum

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

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

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

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

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

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

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

RAN enhancements based on new QoS

**Agreements**

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

RAN2#113-e

Enhancements for support of time synchronization

**Assumptions:**

- There is no UE clock drift issue to be addressed

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

**Agreements**

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

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

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements:**

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

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

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

RAN enhancements based on new QoS

**Agreements**

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

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

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

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

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

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

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

RAN2#114-e

Enhancements for support of time synchronization

=> RAN2 sees some benefits to having this information.

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

Uplink enhancements for URLLC in unlicensed controlled environments

Agreements:

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

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

RAN enhancements based on new QoS

**Agreement:**

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

**Agreements:**

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

2 Survival Time triggered proactively based on Sequence Number is deprioritized

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

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

RAN2#115-e

Enhancements for support of time synchronization

**Agreements**

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

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements**

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

RAN enhancements based on new QoS

**Agreements**

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

RAN2#116-e

Enhancements for support of time synchronization

**Agreements**

1. The gNB can enable/disable UE-side PDC via unicast and broadcast RRC signalling.
2. A new RRC parameter can be introduced to explicitly enable/disable UE-side PDC
3. When reference time information is received in both the DLInformationTransfer message and the SIB9, the UE applies the reference time info in the DLInformationTransfer message. The UE will follow dedicated signaling if timing reference is received in both unicast and broadcast
4. The timing synchronization in I-IoT should focus on the signaling between the UE and gNB, i.e. different from Multi-RTT based signalling flow which involving LMF and AMF

Uplink enhancements for URLLC in unlicensed controlled environments

**Agreements:**

1. If HARQ process ID selection is among the retransmissions whose HARQ processes are with equal priority, it is up to UE implementation to select the prioritized HARQ process ID.

2. If HARQ process ID selection is among the initial transmissions whose HARQ processes are with equal priority, it is up to UE implementation to select the prioritized HARQ process ID.

3. The priority of the HARQ process associated with a MAC PDU in which no data for logical channels is multiplexed or can be multiplexed is lower than the priority of the HARQ process that associated with a MAC PDU in which any logical channels are multiplexed or can be multiplexed.

4. RAN2 confirms the naming/usage of configuration “intraCG-Prioritization”.

5. Autonomous retransmission is triggered in a subsequent and available CG if the UL grant for autonomous retransmission is deprioritized and the corresponding HARQ process status is pending. No spec changes are needed.

RAN enhancements based on new QoS

**Agreements:**

1. A RRC parameter is configured for a DRB with Survival Time support
2. MAC entity shall handle the determination of triggering survival state based on HARQ-NACK
3. For the DRB configured with Survival Time support, the network can control the duplication state for the DRB via legacy activation/deactivation MAC CE. No specification change is foreseen.
4. For the issue that there may be packets already sent to RLC before the pre-configured PDCP duplication configuration is activated, following entry into the Survival Time state, it is up to gNB/UE implementation to handle and no need to specify extra behaviour
5. RAN2 not to consider the interaction between Survival Time solution and handover procedure in Rel-17
6. No specification enhancement will be pursued for CG activation command as Survival Time state trigger
7. The baseline mechanism for Survival Time support is “CG resources will be used for service with Survival Time requirements, such that the mapping relation between the service and the retransmission grant is commonly known to both gNB and UE, and CG retransmission scheduling (addressed by CS-RNTI) can be used for Survival Time state triggering”.
8. FFS how UE identifies the corresponding DRB that should enter Survival Time state and other details (i.e. resource allocation)
9. FFS on unlicensed band
10. Deprioritize autonomous activation of PDCP duplication based on inputs other than retransmission grant

RAN2#116bis-e

Organizational

Agreements:

1 An optional UE capability signalling is introduced for simultaneous configuration of LCH based prioritization (capability lch-priorityBasedPrioritization-r16) and cg-RetransmissionTimer. The capability is per UE, not FDD-TDD DIFF, not FR1-FR2 DIFF.

2 An optional UE capability signalling (intraCG-Prioritization) is introduced to indicate whether UE supports the HARQ process ID selection based on LCH priority. A UE supporting this feature shall also support simultaneous configuration of LCH based prioritization and cg-RetransmissionTimer. The capability is per UE, not FDD-TDD DIFF, not FR1-FR2 DIFF.

3 An optional UE capability signalling for survival time is introduced.

FFS A UE supporting survival time feature shall also support CA PDCP duplication (capability pdcp-DuplicationMCG-OrSCG-DRB) and configured grant type-1 (capability configuredUL-GrantType1 or configuredUL-GrantType1-v1650). The capability is per UE, not FDD-TDD DIFF, not FR1-FR2 DIFF.

FFS on DC duplication or CG Type 1 is supported

Enhancements for support of time synchronization

Agreement

1. Both RTT-based PDC and legacy TA-based PDC are supported.
2. Both RTT-based UE side PDC and RTT-based gNB side PDC are supported. RRT-based gNB side PDC has to be a simple solution and converge by February meeting.
3. A single pair of TRS/PRS and SRS is configured via RRC signaling for RTT-based PDC.
4. For RTT-based UE side PDC, gNB Rx-Tx time difference, e.g., gNBRx-Tx, shall be provided to UE via DLInformationTransfer signaling.
5. No need to introduce additional activation for RTT measurement in UE side.
6. For RTT-based gNB side PDC, RRC measurement framework can be reused as baseline to provide UE Rx-Tx time difference report.
7. For RTT-based gNB side PDC, besides UE Rx-Tx time difference, no additional information needs to be reported to NW.
8. The signaling flow(s) of RTT-based PDC can be captured in stage-2 specification (taking the examples in [R2-2200991] or [R2-2201016] as baseline). The details can be further fine-tuned based on RAN2 agreements during stage-2 running CR review.
9. FFS an explicit indication to only activate UE side TA-based PDC is introduced in SIB or in unicast signalling and what is indicated
10. FFS For TA-based PDC, it’s no need to specify PD calculation related contents in RAN2.
11. Network configuration should guarantee that RTT-based PDC and TA-based PDC are not activated simultaneously for a UE.
12. RAN2 confirms to introduce separate R17 UE capabilities for RTT-based PDC and legacy TA-based PDC, as defined by RAN1 feature list.
13. RAN2 confirm the agreement in last meeting that reference time provided in dedicated signaling takes priority. FFS UE behavior when it receives reference time info via dedicated signaling.
14. RAN2 send a LS to RAN3 to inform the RAN2 progress about RTT-based PDC and TA-based PDC till the end of RAN2#116bis e-meeting. Email discussion [508]
15. It’s no need to specify solution for the issue of mismatch between propagation delay value and reference time information.

Uplink enhancements for URLLC in unlicensed controlled environments

Agreements

1. When cg-RetransmissionTimer is configured but autonomousTx is not configured, a deprioritized MAC PDU is not transmitted in a subsequent CG occasion using the Rel-16 URLLC autonomous transmission mechanism. However, autonomous retransmission based on Rel-16 NR-U behaviour can still take place. RAN2 confirms no specification change is required.
2. Put the follow issue on hold and discuss whether and how to handle it during maintenance phase after WI competition: When autonomousTx and cg-retransmissionTimer are configured, if an autonomous retransmission of a PDU is deprioritized with the HARQ not pending, the network will stop the configuredGrantTimer assocated with the deprioritized PDU. A new MAC PDU will be generated and flush the original packet stored in the HARQ buffer, which may lead to packet loss.
3. If HARQ process ID selection is among the initial transmissions and the retransmissions whose HARQ processes are with equal priority, UE prioritizes the HARQ process for retransmission over initial transmission
4. When cg-RetransmissionTimer is configured but autonomousTx is not configured, cg-RetransmissionTimer should not be stopped for the deprioritized CG

RAN enhancements based on new QoS

**Agreements**

1 For the issue that a CG resource may be insufficient for the UE to include the whole application layer message in one configured grant if a MAC CE is to be transmitted in the same CG, it is up to gNB implementation to ensure CG resources are appropriately configured.

2 Survival Time support is configured at DRB level and a new RRC parameter is added in PDCP-Config.

3 Existing LCH to CG mapping restrictions are used to ensure DRBs in support of Survival Time are mapped to one or multiple CGs. No specification change is foreseen.

4 RAN2 assumes that Rel-16 LCH to CG mapping restrictions can be used to prevent a case where DRBs with and without a Survival Time requirement are mapped to the same CG. The setup of mapping restrictions is up to gNB implementation. No specification change is foreseen.

5 Following entry to Survival Time, PDCP duplication is activated for all associated RLC entities that are configured for a DRB. The RLC entities are identified using the Rel-15/16 options for RRC configuration of associated RLC entities

6 The index of LCHs in the MAC PDU that a retransmission grant relates to is used to identify triggering of Survival Time state of a DRB. The MAC layer can receive information from upper layers as to which LCIDs are associated with Survival Time.

7 Following a HARQ-NACK, entry to Survival Time state is triggered only for the DRBs (with a requirement for Survival Time) which are included in the MAC PDU associated with the grant used for transmission of the TB

8 We will support the case where N=1. FFS if cases with N>1 are supported

In that case, when PDCP duplication is already activated in dual connectivity, in order to minimize dependencies between MAC entities in a configuration with survival time the UE enters Survival Time upon reception of one HARQ NACK at either MCG or SCG.

Within a MAC entity, the determination of HARQ-NACKs does not incur interaction between different CCs. When PDCP duplication is already activated in CA duplication for a configuration of survival time, the UE enters Survival Time upon reception of one HARQ NACK at any CC.

9 RAN2 assumes that SDUs from multiple DRBs with a Survival Time requirement (potentially with a different transfer interval and/or lead time for Survival Time entry) are not mapped to the same CG. Setup of appropriate mapping restrictions is up to gNB implementation. No specification change is foreseen.