**3GPP TSG-RAN WG2 Meeting #119 electronic R2-2209021**

**E-Meeting, 17th – 26th Aug., 2022**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.2* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  |  | **CR** | **1389** | **rev** | **1** | **Current version:** | **17.1.0** |  |
|  | | | | | | | | |
| *For* [***HELP***](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:*** | Miscellaneous MAC Corrections on feMIMO | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Samsung | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_feMIMO-Core | | | | |  | ***Date:*** | | | 2022-08-10 |
|  |  | | | |  | |  | | |  |
| ***Category:*** |  |  | | | | | ***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-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18) Rel-19 (Release 19)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | The changes included in this CR aim to correct the functional corrections and minor errors in the specification. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | This CR includes the following change:   * In 5.4.6, correct the UE operation how to select the one value of Type 1 power headroom from two calculated values when the PHR MAC CE is transmitted towards a MAC entity not configured with twoPHRMode. * Modify the RRC parameters described in clause 5.17 for beam failure detection and recovery to align with the current TS 38.331. * In 5.17, Change the field name of *candidateBeamRSSCellList*/ *candidateBeamRSList2-r17* to *candidateBeamRS-List-r16*/ *candidateBeamRS-List2-r17.* * In 5.17, clarify that “*candidateBeamRS-List-r16*” gives the list of candidate beams for legacy SCell beam failure recovery or beam failure recovery of BFD-RS set one of Serving Cell. * In 5.17, add the situation where the *BFI\_COUNTER* of a BFD-RS set is set to 0 if the reference signals used for beam failure detection are updated by the BFD-RS Indication MAC CE. * In 5.18.23, add “The MAC entity shall:” in the beginning of the procedure text. * In 5.18.23, add “The configured unified TCI states are initially deactivated upon (re-)configuration by upper layers and after reconfiguration with sync”. * Modify the description of the second SP field in clause 6.1.3.43 so that it is for the Truncated Enhanced BFR MAC CE. * Add the indication of the joint TCI state for Pi field if Pi field is set to 0 in clause 6.1.3.47. * Editorials e.g. italic, typo, etc. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | Miscellaneous non-controversial errors will remain in the specification. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 5.4.6, 5.17, 5.18.23, 6.1.3.43, 6.1.3.45, 6.1.3.46, 6.1.3.47, 6.1.3.59 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

START OF CHANGE

# 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.

When a Random Access procedure is initiated, UE selects a set of Random Access resources as specified in clause 5.1.1b and initialises the following parameters for the Random Access procedure according to the values configured by RRC for the selected set of Random Access resources:

- *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;

*- rsrp-ThresholdMsg3*: an RSRP threshold for MSG3 repetition (see clause 5.1.1b);

*- featurePriorities*: priorities for features, such as RedCap, NSAG(s), etc. (see clause 5.1.1d);

- *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;

- *startPreambleForThisPartition*: the first preamble associated with the set of Random Access Resources applicable to the Random Access procedure;

- *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;

- *numberOfPreamblesForThisPartition*: the number of consecutive preambles associated with the set of Random Access Resources applicable to the Random Access procedure;

- *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);

- *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).

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.

NOTE 4: Void.

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

1> select the set of Random Access resources applicable to the current Random Access procedure according to clause 5.1.1b;

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 within the selected set of Random Access resources (as specified in clause 5.1.1b) 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 within the selected set of Random Access resources according to clause 5.1.1b; 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).

### 5.1.2 Random Access Resource selection

If the selected *RA\_TYPE* is set to *4-stepRA*, the MAC entity shall:

1> if the Random Access procedure was initiated for SpCell beam failure recovery (as specified in clause 5.17); and

1> if the *beamFailureRecoveryTimer* (in clause 5.17) is either running or not configured; and

1> if the contention-free Random Access Resources for beam failure recovery request associated with any of the SSBs and/or CSI-RSs have been explicitly provided by RRC; and

1> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* amongst the SSBs in *candidateBeamRSList* or the CSI-RSs with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the CSI-RSs in *candidateBeamRSList* is available:

2> select an SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the SSBs in *candidateBeamRSList* or a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the CSI-RSs in *candidateBeamRSList*;

2> if CSI-RS is selected, and there is no *ra-PreambleIndex* associated with the selected CSI-RS:

3> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the SSB in *candidateBeamRSList* which is quasi-colocated with the selected CSI-RS as specified in TS 38.214 [7].

2> else:

3> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected SSB or CSI-RS from the set of Random Access Preambles for beam failure recovery request.

1> else if the *ra-PreambleIndex* has been explicitly provided by PDCCH; and

1> if the *ra-PreambleIndex* is not 0b000000:

2> set the *PREAMBLE\_INDEX* to the signalled *ra-PreambleIndex*;

2> select the SSB signalled by PDCCH.

1> else if the contention-free Random Access Resources associated with SSBs have been explicitly provided in *rach-ConfigDedicated* and at least one SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the associated SSBs is available:

2> select an SSB with SS-RSRP above *rsrp-ThresholdSSB* amongst the associated SSBs;

2> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected SSB.

1> else if the contention-free Random Access Resources associated with CSI-RSs have been explicitly provided in *rach-ConfigDedicated* and at least one CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the associated CSI-RSs is available:

2> select a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS* amongst the associated CSI-RSs;

2> set the *PREAMBLE\_INDEX* to a *ra-PreambleIndex* corresponding to the selected CSI-RS.

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

1> if the Random Access Resources for SI request have been explicitly provided by RRC:

2> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* is available:

3> select an SSB with SS-RSRP above *rsrp-ThresholdSSB*.

2> else:

3> select any SSB.

2> select a Random Access Preamble corresponding to the selected SSB, from the Random Access Preamble(s) determined according to *ra-PreambleStartIndex* as specified in TS 38.331 [5];

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

1> else (i.e. for the contention-based Random Access preamble selection):

2> if at least one of the SSBs with SS-RSRP above *rsrp-ThresholdSSB* is available:

3> select an SSB with SS-RSRP above *rsrp-ThresholdSSB*.

2> else:

3> select any SSB.

2> if the *RA\_TYPE* is switched from *2-stepRA* to *4-stepRA*:

3> if a Random Access Preambles group was selected during the current Random Access procedure:

4> select the same group of Random Access Preambles as was selected for the 2-step RA type.

3> else:

4> if Random Access Preambles group B is configured; and

4> if the transport block size of the MSGA payload configured in the *rach-ConfigDedicated* corresponds to the transport block size of the MSGA payload associated with Random Access Preambles group B:

5> select the Random Access Preambles group B.

4> else:

5> select the Random Access Preambles group A.

2> else if Msg3 buffer is empty:

3> if Random Access Preambles group B is configured:

4> if the potential Msg3 size (UL data available for transmission plus MAC subheader(s) and, where required, MAC CEs) is greater than *ra-Msg3SizeGroupA* and the pathloss is less than *PCMAX* (of the Serving Cell performing the Random Access Procedure) – *preambleReceivedTargetPower* – *msg3-DeltaPreamble* – *messagePowerOffsetGroupB*; or

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

5> select the Random Access Preambles group B.

4> else:

5> select the Random Access Preambles group A.

3> else:

4> select the Random Access Preambles group A.

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

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

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

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

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

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

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

1> else if an SSB is selected above:

2> determine the next available PRACH occasion from the PRACH occasions corresponding to the selected SSB permitted by the restrictions given by the *ra-ssb-OccasionMaskIndex* if configured or indicated by PDCCH (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the consecutive PRACH occasions according to clause 8.1 of TS 38.213 [6] regardless the FR2 UL gap, corresponding to the selected SSB; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the selected SSB).

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

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

3> determine the next available PRACH occasion from the PRACH occasions, permitted by the restrictions given by the *ra-ssb-OccasionMaskIndex* if configured, corresponding to the SSB in *candidateBeamRSList* which is quasi-colocated with the selected CSI-RS as specified in TS 38.214 [7] (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the consecutive PRACH occasions according to clause 8.1 of TS 38.213 [6] regardless the FR2 UL gap, corresponding to the SSB which is quasi-colocated with the selected CSI-RS; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the SSB which is quasi-colocated with the selected CSI-RS).

2> else:

3> determine the next available PRACH occasion from the PRACH occasions in *ra-OccasionList* corresponding to the selected CSI-RS (the MAC entity shall select a PRACH occasion randomly with equal probability amongst the PRACH occasions occurring simultaneously but on different subcarriers regardless the FR2 UL gap, corresponding to the selected CSI-RS; the MAC entity may take into account the possible occurrence of measurement gaps when determining the next available PRACH occasion corresponding to the selected CSI-RS).

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

NOTE 1: When the UE determines if there is an SSB with SS-RSRP above *rsrp-ThresholdSSB* or a CSI-RS with CSI-RSRP above *rsrp-ThresholdCSI-RS*, the UE uses the latest unfiltered L1-RSRP measurement.

NOTE 2: Void.

NOTE 3: If a RedCap UE in RRC\_IDLE or RRC\_INACTIVE mode is configured with a BWP indicated by *initialDownlinkBWP-RedCap* which is not associated with any SSB, SS-RSRP measurement is performed based on the SSB associated with the BWP indicated by *initialDownlinkBWP*.

### 5.4.6 Power Headroom Reporting

The Power Headroom reporting procedure is used to provide the serving gNB with the following information:

- Type 1 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for UL-SCH transmission per activated Serving Cell;

- Type 2 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for UL-SCH and PUCCH transmission on SpCell of the other MAC entity (i.e. E-UTRA MAC entity in EN-DC, NE-DC, and NGEN-DC cases);

- Type 3 power headroom: the difference between the nominal UE maximum transmit power and the estimated power for SRS transmission per activated Serving Cell;

- MPE P-MPR: the power backoff to meet the MPE FR2 requirements for a Serving Cell operating on FR2.

RRC controls Power Headroom reporting by configuring the following parameters:

- *phr-PeriodicTimer*;

- *phr-ProhibitTimer*;

- *phr-Tx-PowerFactorChange*;

- *phr-Type2OtherCell*;

- *phr-ModeOtherCG*;

- *multiplePHR*;

- *mpe-Reporting-FR2*;

- *mpe-ProhibitTimer*;

- *mpe-Threshold*;

- *numberOfN*;

- *mpe-ResourcePoo*l;

- *twoPHRMode*.

A Power Headroom Report (PHR) shall be triggered if any of the following events occur:

- *phr-ProhibitTimer* expires or has expired and the path loss has changed more than *phr-Tx-PowerFactorChange* dB for at least one RS used as pathloss reference for one activated Serving Cell of any MAC entity of which the active DL BWP is not dormant BWP since the last transmission of a PHR in this MAC entity when the MAC entity has UL resources for new transmission;

NOTE 1: The path loss variation for one cell assessed above is between the pathloss measured at present time on the current pathloss reference and the pathloss measured at the transmission time of the last transmission of PHR on the pathloss reference in use at that time, irrespective of whether the pathloss reference has changed in between. The current pathloss reference for this purpose does not include any pathloss reference configured using *pathlossReferenceRS-Pos* in TS 38.331 [5].

- *phr-PeriodicTimer* expires;

- upon configuration or reconfiguration of the power headroom reporting functionality by upper layers, which is not used to disable the function;

- activation of an SCell of any MAC entity with configured uplink of which *firstActiveDownlinkBWP-Id* is not set to dormant BWP;

- activation of an SCG;

- addition of the PSCell except if the SCG is deactivated (i.e. PSCell is newly added or changed);

- *phr-ProhibitTimer* expires or has expired, when the MAC entity has UL resources for new transmission, and the following is true for any of the activated Serving Cells of any MAC entity with configured uplink:

- there are UL resources allocated for transmission or there is a PUCCH transmission on this cell, and the required power backoff due to power management (as allowed by P-MPRc as specified in TS 38.101-1 [14], TS 38.101-2 [15], and TS 38.101-3 [16]) for this cell has changed more than *phr-Tx-PowerFactorChange* dB since the last transmission of a PHR when the MAC entity had UL resources allocated for transmission or PUCCH transmission on this cell.

- Upon switching of activated BWP from dormant BWP to non-dormant DL BWP of an SCell of any MAC entity with configured uplink;

- if *mpe-Reporting-FR2* is configured, and *mpe-ProhibitTimer* is not running:

- the measured P-MPR applied to meet FR2 MPE requirements as specified in TS 38.101-2 [15] is equal to or larger than *mpe-Threshold* for at least one activated FR2 Serving Cell since the last transmission of a PHR in this MAC entity; or

- the measured P-MPR applied to meet FR2 MPE requirements as specified in TS 38.101-2 [15] has changed more than *phr-Tx-PowerFactorChange* dB for at least one activated FR2 Serving Cell since the last transmission of a PHR due to the measured P-MPR applied to meet MPE requirements being equal to or larger than *mpe-Threshold* in this MAC entity.

in which case the PHR is referred below to as 'MPE P-MPR report'.

NOTE 2: The MAC entity should avoid triggering a PHR when the required power backoff due to power management decreases only temporarily (e.g. for up to a few tens of milliseconds) and it should avoid reflecting such temporary decrease in the values of PCMAX,f,c/PH when a PHR is triggered by other triggering conditions.

NOTE 3: If a HARQ process is configured with *cg-RetransmissionTimer* and if the PHR is already included in a MAC PDU for transmission on configured grant by this HARQ process, but not yet transmitted by lower layers, it is up to UE implementation how to handle the PHR content.

If the MAC entity has UL resources allocated for a new transmission the MAC entity shall:

1> if it is the first UL resource allocated for a new transmission since the last MAC reset:

2> start *phr-PeriodicTimer*.

1> if the Power Headroom reporting procedure determines that at least one PHR has been triggered and not cancelled; and

1> if the allocated UL resources can accommodate the MAC CE for PHR which the MAC entity is configured to transmit, plus its subheader, as a result of LCP as defined in clause 5.4.3.1:

2> if *multiplePHR* with value *true* is configured:

3> for each activated Serving Cell with configured uplink associated with any MAC entity of which the active DL BWP is not dormant BWP; and

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

4> if this MAC entity is configured with *twoPHRMode*:

5> if this Serving Cell is configured with multiple TRP PUSCH repetition and the MAC entity this Serving Cell belongs to is configured with *twoPHRMode*:

6> obtain two values of the Type 1 power headroom for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6] for NR Serving Cell.

5> else:

6> obtain the value of the Type 1 or Type 3 power headroom for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6] for NR Serving Cell and clause 5.1.1.2 of TS 36.213 [17] for E-UTRA Serving Cell.

4> else (i.e. this MAC entity is not configured with *twoPHRMode*):

5> if this Serving Cell is configured with multiple TRP PUSCH repetition and the MAC entity this Serving Cell belongs to is configured with *twoPHRMode*:

6> obtain one value of the Type 1 power headroom, for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6] for NR Serving Cell; or

7> if there is at least one real transmission at the slot where the PHR MAC CE is for transmission, for the first real transmission associated with one TRP;

7> else if thre is no real transmission at the slot where the PHR MAC CE is for transmission, for a reference format associated with the SRS-ResourceSet with a lower *SRS-SresourceSetId*;

5> else:

6> obtain the value of the Type 1 or Type 3 power headroom for the corresponding uplink carrier as specified in clause 7.7 of TS 38.213 [6] for NR Serving Cell and clause 5.1.1.2 of TS 36.213 [17] for E-UTRA Serving Cell.

4> if this MAC entity has UL resources allocated for transmission on this Serving Cell; or

4> if the other MAC entity, if configured, has UL resources allocated for transmission on this Serving Cell and *phr-ModeOtherCG* is set to *real* by upper layers:

5> obtain the value for the corresponding PCMAX,f,c field from the physical layer.

5> if *mpe-Reporting-FR2* is configured and this Serving Cell operates on FR2 and this Serving Cell is associated to this MAC entity:

6> obtain the value for the corresponding MPE field from the physical layer.

5> if *mpe-Reporting-FR2-r17* is configured and this Serving Cell operates on FR2 and this Serving Cell is associated to this MAC entity:

6> obtain the value for the corresponding MPEi field from the physical layer;

6> obtain the value for the corresponding Resourcei field from the physical layer.

3> if *phr-Type2OtherCell* with value *true* is configured:

4> if the other MAC entity is E-UTRA MAC entity:

5> obtain the value of the Type 2 power headroom for the SpCell of the other MAC entity (i.e. E-UTRA MAC entity);

5> if *phr-ModeOtherCG* is set to *real* by upper layers:

6> obtain the value for the corresponding PCMAX,f,c field for the SpCell of the other MAC entity (i.e. E-UTRA MAC entity) from the physical layer.

3> instruct the Multiplexing and Assembly procedure to generate and transmit the Enhanced Multiple entry PHR as defined in clause 6.1.3.49 if this MAC entity is configured with *mpe-Reporting-FR2-r17* or the Enhanced Multiple Entry PHR for multiple TRP MAC CE as defined in clause 6.1.3.51 if this MAC entity is configured with *twoPHRMode* or the Multiple Entry PHR MAC CE as defined in clause 6.1.3.9 otherwise based on the values reported by the physical layer.

2> else (i.e. Single Entry PHR format is used):

3> if this MAC entity is configured with *twoPHRMode*:

4> obtain two values of the Type 1 power headroom from the physical layer for the corresponding uplink carrier of the PCell.

3> else:

4> obtain the value of the Type 1 power headroom from the physical layer for the corresponding uplink carrier of the PCell.

3> obtain the value for the corresponding PCMAX,f,c field from the physical layer;

3> if *mpe-Reporting-FR2* is configured and this Serving Cell operates on FR2:

4> obtain the value for the corresponding MPE field from the physical layer.

3> if *mpe-Reporting-FR2-r17* is configured and this Serving Cell operates on FR2 and this Serving Cell is associated to this MAC entity:

4> obtain the value for the corresponding MPEi field from the physical layer;

4> obtain the value for the corresponding Resourcei field from the physical layer.

3> instruct the Multiplexing and Assembly procedure to generate and transmit the Enhanced Single entry PHR as defined in clause 6.1.3.48 if this MAC entity is configured with *mpe-Reporting-FR2-r17* or the Enhanced Single Entry PHR for multiple TRP MAC CE as defined in clause 6.1.3.50 if this MAC entity is configured with *twoPHRMode* or the Single Entry PHR MAC CE as defined in clause 6.1.3.8 otherwise based on the values reported by the physical layer.

2> if this PHR report is an MPE P-MPR report:

3> start or restart the *mpe-ProhibitTimer*;

3> cancel triggered MPE P-MPR reporting for Serving Cells included in the PHR MAC CE.

2> start or restart *phr-PeriodicTimer*;

2> start or restart *phr-ProhibitTimer*;

2> cancel all triggered PHR(s).

All triggered PHRs shall be cancelled when there is an ongoing SDT procedure as in clause 5.27 and the UL grant(s) can accommodate all pending data available for transmission but is not sufficient to additionally accommodate the PHR MAC CE plus its subheader.

## 5.17 Beam Failure Detection and Recovery procedure

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

RRC configures the following parameters in the *beamFailureRecoveryConfig*, *beamFailureRecoverySpCellConfig*, *beamFailureRecoverySCellConfig* and the *radioLinkMonitoringConfig* for the Beam Failure Detection and Recovery procedure:

- *beamFailureInstanceMaxCount* for the beam failure detection (per Serving Cell or per BFD-RS set of Serving Cell configured with two BFD-RS sets);

- *beamFailureDetectionTimer* for the beam failure detection (per Serving Cell or per BFD-RS set of Serving Cell configured with two BFD-RS sets);

- *beamFailureRecoveryTimer* for the beam failure recovery procedure;

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

- *rsrp-ThresholdBFR*: an RSRP threshold for the SCell beam failure recovery or for the beam failure recovery of BFD-RS set of Serving Cell;

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

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

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

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

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

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

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

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

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

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

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

- *candidateBeamRS-List-r16*: list of candidate beams for SCell beam failure recovery or beam failure recovery of BFD-RS set one of Serving Cell;

- *candidateBeamRS-List2-r17*: list of candidate beams for beam failure recovery of BFD-RS set two of Serving Cell.

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

- *BFI\_COUNTER* (per Serving Cell or per BFD-RS set of Serving Cell configured with two BFD-RS sets): counter for beam failure instance indication which is initially set to 0.

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

1> if the Serving Cell is configured with two BFD-RS sets:

2> if beam failure instance indication for a BFD-RS set has been received from lower layers:

3> start or restart the *beamFailureDetectionTimer* of the BFD-RS set;

3> increment *BFI\_COUNTER* of the BFD-RS set by 1;

3> if *BFI\_COUNTER* of the BFD-RS set >= *beamFailureInstanceMaxCount*:

4> trigger a BFR for this BFD-RS set of the Serving Cell;

2> if BFR is triggered for both BFD-RS sets of the SpCell and the Beam Failure Recovery procedure is not successfully completed for any of the BFD-RS sets:

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

2> if the Serving Cell is SpCell and the Random Access procedure initiated for beam failure recovery of both BFD-RS sets of SpCell is successfully completed (see clause 5.1):

3> set *BFI\_COUNTER* of each BFD-RS set of SpCell to 0.

3> consider the Beam Failure Recovery procedure successfully completed.

2> if the *beamFailureDetectionTimer* of this BFD-RS set expires; or

2> if *beamFailureDetectionTimer*, *beamFailureInstanceMaxCount*, or any of the reference signals used for beam failure detection is reconfigured by upper layers or by the BFD-RS Indication MAC CE associated with a BFD-RS set of the Serving Cell:

3> set *BFI\_COUNTER* of the BFD-RS set to 0.

2> if a PDCCH addressed to C-RNTI indicating uplink grant for a new transmission is received for the HARQ process used for the transmission of the Enhanced BFR MAC CE or Truncated Enhanced BFR MAC CE which contains beam failure recovery information of this BFD-RS set of the Serving Cell:

3> set *BFI\_COUNTER* of the BFD-RS set to 0;

3> consider the Beam Failure Recovery procedure successfully completed for this BFD-RS set and cancel all the triggered BFRs of this BFD-RS set of the Serving Cell.

2> if the Serving Cell is SCell and the SCell is deactivated as specified in clause 5.9:

3> set *BFI\_COUNTER* of each BFD-RS set of SCell to 0;

3> consider the Beam Failure Recovery procedure successfully completed and cancel all the triggered BFRs of all BFD-RS sets of the Serving Cell.

1> else:

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

3> start or restart the *beamFailureDetectionTimer*;

3> increment *BFI\_COUNTER* by 1;

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

4> if the Serving Cell is SCell:

5> trigger a BFR for this Serving Cell;

4> else if the Serving Cell is PSCell and, the SCG is deactivated:

5> if beam failure of the PSCell has not been indicated to upper layers since the SCG was deactivated or since the deactivated SCG was last reconfigured with BFD-RS:

6> indicate beam failure of the PSCell to upper layers.

4> else:

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

2> if the *beamFailureDetectionTimer* expires; or

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

3> set *BFI\_COUNTER* to 0.

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

3> set *BFI\_COUNTER* to 0;

3> stop the *beamFailureRecoveryTimer*, if configured;

3> consider the Beam Failure Recovery procedure successfully completed.

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

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

3> set *BFI\_COUNTER* to 0;

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

The MAC entity shall:

1> if the Beam Failure Recovery procedure determines that at least one BFR has been triggered and not cancelled for an SCell for which evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed and if none of the Serving Cell(s) of this MAC entity are configured with two BFD-RS sets:

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

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

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

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

2> else:

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

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

1> if the Beam Failure Recovery procedure determines that at least one BFR for only one BFD-RS set has been triggered and not cancelled for an SpCell for which evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed; or

1> if the Beam Failure Recovery procedure determines that at least one BFR has been triggered and not cancelled for an SCell for which evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed and if at least one Serving Cell of this MAC entity is configured with two BFD-RS sets:

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

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

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

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

2> else:

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

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

All BFRs triggered for an SCell shall be cancelled when a MAC PDU is transmitted and this PDU includes a MAC CE for BFR which contains beam failure information of that SCell. All BFRs triggered for a BFD-RS set of a Serving Cell shall be cancelled when a MAC PDU is transmitted and this PDU includes an Enhanced BFR MAC CE or Truncated Enhanced BFR MAC CE which contains beam failure recovery information of that BFD-RS set of the Serving Cell.

## 5.18 Handling of MAC CEs

### 5.18.23 Unified TCI States Activation/Deactivation MAC CE

The network may activate and deactivate the configured unified TCI states of a Serving Cell or a set of Serving Cells configured in *simultaneousU-TCI-UpdateList1*, *simultaneousU-TCI-UpdateList2*, *simultaneousU-TCI-UpdateList3* or *simultaneousU-TCI-UpdateList4* by sending the Unified TCI States Activation/Deactivation MAC CE described in clause 6.1.3.47. The configured unified TCI states are initially deactivated upon (re-)configuration by upper layers and after reconfiguration with sync.

The MAC entity shall:

1> if the MAC entity receives a Unified TCI States Activation/Deactivation MAC CE on a Serving Cell:

2> indicate to lower layers the information regarding the Unified TCI States Activation/Deactivation MAC CE.

#### 6.1.3.43 Enhanced BFR MAC CEs

The Enhanced MAC CEs for BFR consists of either:

- Enhanced BFR MAC CE; or

- Truncated Enhanced BFR MAC CE.

The Enhanced BFR MAC CE and Truncated Enhanced BFR MAC CE are identified by a MAC subheader with eLCID/LCID as specified in Table 6.2.1-2 and Table 6.2.1-2b.

The Enhanced BFR MAC CE and Truncated Enhanced BFR MAC CE have a variable size. They include a SP field, Ci bitmap (single octet or four octets), Sj bitmap (0 to 4 octets), beam failure recovery information i.e. octets containing candidate beam availability indication (AC) for BFD-RS set(s) of SpCell configured with two BFD-RS sets, and in ascending order based on *ServCellIndex*, beam failure recovery information i.e. octets containing candidate beam availability indication (AC) for BFD-RS set(s) of SCells indicated in the Ci bitmap. For Enhanced BFR MAC CE, a single octet Ci bitmap is used when the highest *ServCellIndex* of this MAC entity's SCell for which beam failure is detected for SCell or for at least one BFD-RS set of SCell and the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed is less than 8, otherwise four octets Ci bitmap is used. A MAC PDU shall contain at most one MAC CE for BFR.

For Truncated Enhanced BFR MAC CE, a single octet Ci bitmap is used for the following cases, otherwise four octets Ci bitmap is used:

- the highest *ServCellIndex* of this MAC entity's SCell for which beam failure is detected for SCell or for at least one BFD-RS set of SCell and the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed is less than 8; or

- beam failure is detected for SpCell (as specified in Clause 5.17) not configured with two BFD-RS sets, and the SpCell is to be indicated in a Truncated Enhanced BFR MAC CE and the UL-SCH resources available for transmission cannot accommodate the Truncated Enhanced BFR MAC CE with the four octets Ci bitmap plus its subheader as a result of LCP; or

- Random Access procedure is initiated for beam failure recovery of both BFD-RS sets of SpCell (as specified in Clause 5.17) configured with two BFD-RS sets and the SpCell is to be indicated in a Truncated Enhanced BFR MAC CE and the UL-SCH resources available for transmission cannot accommodate the Truncated Enhanced BFR MAC CE with the four octets Ci bitmap plus its subheader as a result of LCP.

For Enhanced BFR MAC CE and Truncated Enhanced BFR MAC CE, a single octet Sk bitmap is included if the total number of Serving Cells configured with two BFD-RS sets for which SP/Ci field set to 1 is greater than 0 and less than 9; a two octets Sk bitmap is included if the total number of Serving Cells configured with two BFD-RS sets for which SP/Ci field set to 1 is greater than 8 and less than 17; a three octets Sk bitmap is included if the total number of Serving Cells configured with two BFD-RS sets for which SP/Ci field is set to 1 is greater than 16 and less than 25; a four octets Sk bitmap is included if the total number of Serving Cells configured with two BFD-RS sets for which SP/Ci field set to 1 is greater than 24; Sk bitmap is not included if the total number of Serving Cells configured with two BFD-RS sets for which SP/Ci field is set to 1 is zero.

For Truncated Enhanced BFR MAC CE, octet(s) containing the AC field, if any, are included for SpCell first, then one octet containing the AC field is included for SCell(s) (in ascending order of the *ServCellIndex*) and then the second octet containing the AC field, if any, is included for SCell(s) (in ascending order of the *ServCellIndex*), while not exceeding the available grant size. The number of the octets containing the AC field in the Truncated Enhanced BFR MAC CE can be zero.

The fields in the Enhanced BFR MAC CEs are defined as follows:

- SP (Enhanced BFR MAC CE): This field indicates beam failure detection (as specified in clause 5.17) for the SpCell of this MAC entity and the presence of octet(s) containing the AC field if the SpCell is configured with multiple BFD-RS sets. For the SpCell configured with two BFD-RS sets, this field set to 1 indicates that beam failure is detected for at least one BFD-RS set, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed, and the octet(s) containing the AC field is present for the SpCell; otherwise, it is set to 0. The octet(s) containing the AC field for SpCell are included before those of SCell(s). For the SpCell not configured with multiple BFD-RS sets, the SP field is set to 1 to indicate that beam failure is detected for SpCell when Enhanced BFR MAC CE is to be included into a MAC PDU as part of Random Access Procedure (as specified in 5.1.3a and 5.1.4); otherwise, it is set to 0;

- SP (Truncated Enhanced BFR MAC CE): This field indicates beam failure detection (as specified in clause 5.17) for the SpCell of this MAC entity. For the SpCell configured with two BFD-RS sets, this field set to 1 indicates that beam failure is detected for at least one BFD-RS set, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed, and the octet(s) containing the AC field may be present for the SpCell; otherwise, it is set to 0. For the SpCell not configured with multiple BFD-RS sets, the SP field is set to 1 to indicate that beam failure is detected for SpCell when Truncated Enhanced BFR MAC CE is to be included into a MAC PDU as part of Random Access Procedure (as specified in 5.1.3a and 5.1.4); otherwise, it is set to 0;

- Ci (Enhanced BFR MAC CE): This field indicates beam failure detection (as specified in clause 5.17) and the presence of octet(s) containing the AC field for the SCell with *ServCellIndex* i as specified in TS 38.331 [5]. The Ci field set to 1 indicates that beam failure is detected for at least one BFD-RS set, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed, and the octet(s) containing the AC field is present for the SCell with *ServCellIndex* i. The Ci field set to 0 indicates that the beam failure is either not detected for any BFD-RS set or the beam failure is detected for at least one BFD-RS set but the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has not been completed, and the octets containing the AC field is not present for the SCell with *ServCellIndex* i. The octets containing the AC field are present in ascending order based on the *ServCellIndex* and are included after the octets containing the AC field for SpCell, if any;

- Ci (Truncated Enhanced BFR MAC CE): This field indicates beam failure detection (as specified in clause 5.17) for the SCell with *ServCellIndex* i as specified in TS 38.331 [5]. The Ci field set to 1 indicates that beam failure is detected for at least one BFD-RS set, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed, and the octet(s) containing the AC field for the SCell with *ServCellIndex* i may be present. The Ci field set to 0 indicates that the beam failure is either not detected for any BFD-RS set or the beam failure is detected for at least one BFD-RS set but the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has not been completed, and the octet(s) containing the AC field is not present for the SCell with *ServCellIndex* i;

- Sk (Enhanced BFR MAC CE): This field corresponds to the kth Serving Cell for which SP/Ci field is set to 1 and is configured with two BFD-RS sets. The Serving Cells for which SP/Ci field is set to 1 and are configured with two BFD-RS sets, are indexed sequentially starting with SpCell and followed by SCells in ascending order of *ServCellIndex* i. This field indicates whether beam failure is detected for one or both BFD-RS sets and presence of one or two octets containing the AC field of the Serving Cell. The Sk field set to 1 indicates that beam failure is detected for both the BFD-RS sets, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed for both the BFD-RS sets, and the octets containing the AC field is present for both the BFD-RS sets, of the Serving Cell. The Sk field set to 0 indicates that beam failure is either detected for one of the BFD-RS sets and the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed or beam failure is detected for both the BFD-RS sets but the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has not been completed for both the BFD-RS sets, and the octet containing the AC field is present for only one BFD-RS set of the Serving Cell. The Sk field not mapped to any Serving Cell is set to 0;

- Sk (Truncated Enhanced BFR MAC CE): This field corresponds to the kth Serving Cell for which SP/Ci field is set to 1 and is configured with two BFD-RS sets. The Serving Cells for which SP/Ci field is set to 1 and are configured with two BFD-RS sets, are indexed sequentially starting with SpCell and followed by SCells in ascending order of *ServCellIndex* i. This field indicates whether beam failure is detected for one or both BFD-RS sets of the Serving Cell. The Sk field set to 1 indicates that beam failure is detected for both the BFD-RS sets, the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed for both the BFD-RS sets, and the octet containing the AC field is present for zero, one or two BFD-RS sets of the Serving Cell. The Sk field set to 0 indicates that beam failure is either detected for one of the BFD-RS sets and the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has been completed or beam failure is detected for both the BFD-RS sets but the evaluation of the candidate beams according to the requirements as specified in TS 38.133 [11] has not been completed for both the BFD-RS sets or the octet containing the AC field is present for zero or one BFD-RS set of the Serving Cell. The Sk field not mapped to any Serving Cell is set to 0;

- AC: This field indicates the presence of the Candidate RS ID field in this octet. If at least one of the SSBs with SS-RSRP above *rsrp-ThresholdBFR* amongst the SSBs in list of candidate beams (i.e. *candidateBeamRS-List-r16* for the SCell not configured with two BFD-RS sets, *candidateBeamRS-List-r16* or *candidateBeamRS-List2-r17* for Serving Cell configured with two BFD-RS sets) or the CSI-RSs with CSI-RSRP above *rsrp-ThresholdBFR* amongst the CSI-RSs in list of candidate beams is available, the AC field is set to 1; otherwise, it is set to 0. If the AC field set to 1, the Candidate RS ID field is present. If the AC field set to 0, R bits are present instead;

- ID: This field indicates the identity of the BFD-RS set. It is set to 0 if this octet corresponds to BFD-RS set one, *failureDetectionSet1-r17*. It is set to 1 if this octet corresponds to BFD-RS set two, *failureDetectionSet2-r17*. For the Serving cell not configured with two BFD-RS sets, this field is set to 0;

- Candidate RS ID: This field is set to the index of an SSB with SS-RSRP above *rsrp-ThresholdBFR* amongst the SSBs in list of candidate beams (i.e. *candidateBeamRS-List-r16* for the SCell not configured with two BFD-RS sets, *candidateBeamRS-List-r16* or *candidateBeamRS-List2-r17* for Serving Cell configured with two BFD-RS sets) or to the index of a CSI-RS with CSI-RSRP above *rsrp-ThresholdBFR* amongst the CSI-RSs in the list of candidate beams. Index of an SSB or CSI-RS is the index of an entry in the list of candidate beams corresponding to the SSB or CSI-RS. Index 0 corresponds to the first entry in the list of candidate beams, index 1 corresponds to the second entry in the list and so on. The length of this field is 6 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.43-1: Enhanced BFR and Truncated Enhanced BFR MAC CE with one octet Ci field



Figure 6.1.3.43-2: Enhanced BFR and Truncated Enhanced BFR MAC CE with four octets Ci field

#### 6.1.3.44 Enhanced TCI States Indication for UE-specific PDCCH MAC CE

The Enhanced TCI States Indication for UE-specific PDCCH MAC CE is identified by a MAC PDU subheader with eLCID as specified in Table 6.2.1-1b. It has a fixed size of 24 bits with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits. If the indicated Serving Cell is configured as part of a *simultaneousTCI-UpdateList1* or *simultaneousTCI-UpdateList2* as specified in TS 38.331 [5], this MAC CE applies to all theServing Cells in the set *simultaneousTCI-UpdateList1* or *simultaneousTCI-UpdateList2*, respectively;

- CORESET ID: This field indicates a Control Resource Set identified with *ControlResourceSetId* as specified in TS 38.331 [5], for which the TCI State is being indicated. In case the value of the field is 0, the field refers to the Control Resource Set configured by *controlResourceSetZero* as specified in TS 38.331 [5]. The length of the field is 4 bits;

- TCI state IDi: This field indicates the TCI state identified by *TCI-StateId* as specified in TS 38.331 [5] applicable to the Control Resource Set identified by CORESET ID field. If the field of CORESET ID is set to the other value than 0, this field indicates a *TCI-StateId* configured by *tci-StatesPDCCH-ToAddList* and *tci-StatesPDCCH-ToReleaseList* in the *controlResourceSet* identified by the indicated CORESET ID. The length of the field is 7 bits.

NOTE 1: The Enhanced TCI State Indication for UE specific PDCCH MAC CE is not applicable to any of the configured CORESETs in a BWP if the CORESETs are configured with different *CORESETPoolindex* values in the BWP.

NOTE 2: The Enhanced TCI State Indication for UE specific PDCCH MAC CE is applied only if *sfnSchemePdcch* is configured.



Figure 6.1.3.44-1: Enhanced TCI States Indication for UE-specific PDCCH MAC CE

#### 6.1.3.45 PUCCH spatial relation Activation/Deactivation for multiple TRP PUCCH repetition MAC CE

The PUCCH Spatial Relation Activation/Deactivation for multiple TRP PUCCH repetition MAC CE is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a UL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- C: This field indicates whether single or two spatial relation info(s) is activated for the indicated PUCCH Resource ID. If this field is set to 1, octet containing the second spatial relation info for the indicated PUCCH Resource is present. If this field is set to 0, octet containing the second spatial relation info for the indicated PUCCH Resource is not present;

- PUCCH Resource ID: This field contains an identifier of the PUCCH resource ID identified by *PUCCH-ResourceId* as specified in TS 38.331 [5], which is to be activated with a spatial relations indicated by Spatial Relation Info IDi fields in the subsequent octet(s). The length of the field is 7 bits. If the indicated PUCCH Resource ID is included in a PUCCH Resource Group (configured via *resourceGroupToAddModList* as specified in TS 38.331 [5]) of the indicated UL BWP, no other PUCCH Resources within the same PUCCH Resource group are indicated in the MAC CE, and this MAC CE applies to all the PUCCH Resources in the PUCCH Resource group;

- Spatial Relation Info IDi: This field contains *PUCCH-SpatialRelationInfoId–r16* where *PUCCH-SpatialRelationInfoId* is the identifier of the PUCCH Spatial Relation Info in *PUCCH-Config* in which the PUCCH Resource ID is configured, as specified in TS 38.331 [5], where i is the index of the activated spatial relation info ID. The length of the field is 6 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.45-1: PUCCH spatial relation Activation/Deactivation for multiple TRP PUCCH repetition MAC CE

#### 6.1.3.46 PUCCH Power Control Set Update for multiple TRP PUCCH repetition MAC CE

The PUCCH Power Control Set Update for multiple TRP PUCCH repetition MAC CE is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size with following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits;

- BWP ID: This field indicates a UL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- C: This field indicates whether single or two power control set(s) is activated for the indicated PUCCH Resource ID. If this field is set to 1, the second power control set index (i.e. Power Control Set ID1) for the indicated PUCCH Resource is present. If this field is set to 0, the second power control set index (i.e. Power Control Set ID1) for the indicated PUCCH Resource is not present;

- PUCCH Resource ID: This field contains an identifier of the PUCCH resource ID identified by *PUCCH-ResourceId* as specified in TS 38.331 [5], which is to be activated with a power control set(s) indicated by Power Control Set IDi fields in the subsequent octet. The length of the field is 7 bits. If the indicated PUCCH Resource ID is included in a PUCCH Resource Group (configured via *resourceGroupToAddModList* as specified in TS 38.331 [5]) of the indicated UL BWP, no other PUCCH Resources within the same PUCCH Resource group are indicated in the MAC CE, and this MAC CE applies to all the PUCCH Resources in the PUCCH Resource group;

- Power Control Set IDi: This field contains *PUCCH-PowerControlSetInfoId* where *PUCCH-PowerControlSetInfoId* is the identifier of the PUCCH Power Control Set in *PUCCH-Config* in which the PUCCH Resource ID is configured, as specified in TS 38.331 [5], where i is the index of the power control set ID. The length of the field is 3 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.46-1: PUCCH power control set update for multiple TRP PUCCH repletion MAC CE

#### 6.1.3.47 Unified TCI States Activation/Deactivation MAC CE

The Unified TCI States Activation/Deactivation MAC CE is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size consisting of following fields:

- Serving Cell ID: This field indicates the identity of the Serving Cell for which the MAC CE applies. The length of the field is 5 bits. If the indicated Serving Cell is configured as part of a *simultaneousU-TCI-UpdateList1*, *simultaneousU-TCI-UpdateList2*, *simultaneousU-TCI-UpdateList3* or *simultaneousU-TCI-UpdateList4* as specified in TS 38.331 [5], this MAC CE applies to all theServing Cells in the set *simultaneousU-TCI-UpdateList1*, *simultaneousU-TCI-UpdateList2*, *simultaneousU-TCI-UpdateList3* or *simultaneousU-TCI-UpdateList4*, respectively;

- DL BWP ID: This field indicates a DL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth* *part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- UL BWP ID: This field indicates a UL BWP for which the MAC CE applies as the codepoint of the DCI *bandwidth* *part indicator* field as specified in TS 38.212 [9]. The length of the BWP ID field is 2 bits;

- Pi: This field indicates whether each TCI codepoint has multiple TCI states or single TCI state. If Pi field is set to 1, it indicates that ith TCI codepoint includes the DL TCI state and the UL TCI state. If Pi field is set to 0, it indicates that ith TCI codepoint includes only the DL/joint TCI state or the UL TCI state;

- D/U: This field indicate whether the TCI state ID in the same octet is for joint/downlink or uplink TCI state. If this field is set to 1, the TCI state ID in the same octet is for joint/downlink. If this field is set to 0, the TCI state ID in the same octet is for uplink;

- TCI state ID: This field indicates the TCI state identified by *TCI-StateId* as specified in TS 38.331 [5]. If D/U is set to 1, 7-bits length TCI state ID i.e. *TCI-StateId* as specified in TS 38.331 [5] is used. If D/U is set to 0, the most significant bit of TCI state ID is considered as the reserved bit and remainder 6 bits indicate the *UL-TCIState-Id* as specified in TS 38.331 [5]. The maximum number of activated TCI states is 16;

- R: Reserved bit, set to 0.



Figure 6.1.3.47-1: Unified TCI state activation/deactivation MAC CE

#### 6.1.3.59 SP/AP SRS TCI State Indication MAC CE

The SP/AP SRS TCI State Indication MAC CE is identified by a MAC subheader with eLCID as specified in Table 6.2.1-1b. It has a variable size with following fields:

- A/D: This field indicates whether to activate or deactivate indicated SP SRS resource set. The field is set to 1 to indicate activation, otherwise it indicates deactivation. If the indicated SRS resource set ID is for the AP SRS resource set, MAC entity shall ignore this field;

- SRS Resource Set's Cell ID: This field indicates the identity of the Serving Cell, which contains the indicated SP/AP SRS Resource Set. If the C field is set to 0, this field also indicates the identity of the Serving Cell associated with all TCI states indicated by the TCI State IDi fields. The length of the field is 5 bits;

- SRS Resource Set's BWP ID: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], which contains the indicated SP/AP SRS Resource Set. If the C field is set to 0, this field also indicates the identity of the BWP associated with all TCI states indicated by the TCI State IDi fields. The length of the field is 2 bits;

- C: This field indicates whether the octets containing TCI State Serving Cell ID field(s) and TCI State BWP ID field(s) are present. If this field is set to 1, TCI State Serving Cell ID field(s) and TCI State BWP ID field(s) are present, otherwise they are not present so MAC entity shall ignore TCI State Serving Cell ID field(s) and TCI State BWP ID field(s);

- SUL: This field indicates whether the MAC CE applies to the NUL carrier or SUL carrier configuration. This field is set to 1 to indicate that it applies to the SUL carrier configuration, and it is set to 0 to indicate that it applies to the NUL carrier configuration;

- SRS Resource Set ID: This field indicates the SP/AP SRS Resource Set ID identified by *SRS-ResourceSetId* as specified in TS 38.331 [5]. The length of the field is 4 bits;

- TCI State Serving Cell IDi: This field indicates the identity of the Serving Cell on which the TCI State used for SRS resource i is located. The length of the field is 5 bits;

- TCI State BWP IDi: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], on which the TCI State used for SRS resource i is located. The length of the field is 2 bits;

- TCI State IDi: This field contains an identifier of the TCI state used for SRS resource i. TCI State ID0 refers to the first SRS resource within the resource set, TCI State ID1 refers to the second one and so on. If joint/downlink TCI State is used, 7-bits length TCI state ID i.e. *TCI-StateId* as specified in TS 38.331 [5] is used. If separate downlink and uplink TCI State is used, the most significant bit of TCI state ID is considered as a reserved bit and the remaining 6 bits indicate the *UL-TCIState-Id* as specified in TS 38.331 [5]. The length of the field is 7 bits. This field is only present if MAC CE is used for activation of SP SRS resource set, i.e. the A/D field is set to 1, or for AP SRS resource set;

- R: Reserved bit, set to 0.



Figure 6.1.3.59-1: SP/AP SRS TCI State Indication MAC CE

#### 6.1.3.60 Serving Cell Set based SRS TCI State Indication MAC CE

The Serving Cell Set based SRS TCI State Indication MAC CE is identified by a MAC subheader with eLCID as specified. It has a variable size with following fields:

- SRS Resource's Cell ID: This field indicates the identity of the Serving Cell, which contains the indicated SP/AP SRS Resource. If the C field is set to 0, this field also indicates the identity of the Serving Cell associated with all TCI States indicated by the TCI State IDi fields. The length of the field is 5 bits. The indicated Serving Cell is configured as part of *simultaneousSpatial-UpdatedList1* or *simultaneousSpatial-UpdatedList2* in TS 38.331 [5], and this MAC CE applies to all the Serving Cells configured in the set *simultaneousSpatial-UpdatedList1* or *simultaneousSpatial-UpdatedList2*, respectively;

- SRS Resource's BWP ID: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], which contains the indicated AP/SP SRS Resource. If the C field is set to 0, this field also indicates the identity of the BWP associated with all TCI States indicated by the TCI State IDi fields. The length of the field is 2 bits;

- C: This field indicates whether the octets containing TCI State Serving Cell ID field(s) and TCI State BWP ID field(s) are present. If this field is set to 1, the TCI State Serving Cell ID field(s) and TCI State BWP ID field(s) are present, otherwise they are not present so MAC entity shall ignore TCI State Serving Cell ID field(s) and TCI State BWP ID field(s);

- SRS Resource IDi: This field indicates the SP/AP SRS Resource ID identified by *SRS-ResourceId* as specified in TS 38.331 [5]. The length of the field is 6 bits;

- TCI State Serving Cell IDi: This field indicates the identity of the Serving Cell on which the TCI State used for SRS Resource IDi is located. The length of the field is 5 bits;

- TCI State BWP IDi: This field indicates a UL BWP as the codepoint of the DCI *bandwidth part indicator* field as specified in TS 38.212 [9], on which the TCI State used for SRS Resource IDi is located. The length of the field is 2 bits;

- TCI State IDi: This field contains an identifier of the TCI state used for SRS resource i. TCI State ID0 refers to the first SRS resource which is indicated SRS Resource ID0, TCI State ID1 refers to the second one and so on. If joint/downlink TCI State is used, 7-bits length TCI state ID i.e. *TCI-StateId* as specified in TS 38.331 [5] is used. If separate downlink and uplink TCI State is used, the most significant bit of TCI state ID is considered as a reserved bit and the remaining 6 bits indicate the *UL-TCIState-Id* as specified in TS 38.331 [5]. The length of the field is 7 bits;

- R: Reserved bit, set to 0.



Figure 6.1.3.60-1: Serving Cell Set based SRS TCI State Indication MAC CE

END OF CHANGE