3GPP TSG-RAN WG2 Meeting #109bis Drfat\_R2-R2-2003902

Elbonia, 20 April – 30 April 2020

**Agenda Item: 6.16.3**

**Source: Apple**

**Title: Summary of offline#103: BFR on SpCell (2nd round)**

**Document for: Discussion and Decision**

# Introduction

Following agreements were reached during online discussion in RAN2#109bis-e meeting.

Agreements:

1. SpCell BFR enhancement is supported in R16.
2. BFR MAC CE for SCell BFR is used for SpCell BFR reporting (i.e. no new BFR MAC CE is introduced).
3. A single octet bitmap should be used if SpCell beam failure is detected and truncated BFR MAC CE cannot be accommodated in available UL grant.

Working assumptions:

1. BFR MAC CE for SpCell is only transmitted in Msg3 and MsgA via CBRA. Further discuss offline
2. AC and candidate beam ID is not contained in the BFR MAC CE for SpCell. Further discuss offline

This is the summary report of offline#103 BFR on SpCell - second round, which is focusing on the two working assumptions (marked in yellow).

# Discussion

Companies are encouraged to provide your view on the working assumption.

1. **Working assumption#1**
2. BFR MAC CE for SpCell is only transmitted in Msg3 and MsgA via CBRA. Further discuss offline

**Question 1: Do you have any technical concerns on sending SpCell BFR in a UL grant in addition to msg3 or msgA?**

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| --- | --- | --- |
| **Company** | **Reply? (y/n)** | **Additional comments** |
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**Question 2: Do you agree the 1st working assumption?**

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| **Company** | **Agree? (y/n)** | **Additional comments** |
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1. **Working assumption#2**
2. AC and candidate beam ID is not contained in the BFR MAC CE for SpCell. Further discuss offline

**Question 3: Do you agree the 2st working assumption?**

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| **Company** | **Agree? (y/n)** | **Additional comments** |
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# Summary

# Conclusion

The followings are proposed to be agreed.

# Text proposal

### 5.1.3a MSGA transmission

The MAC entity shall, for each MSGA:

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

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

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

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

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

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

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

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

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

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

2> if the Random Access procedure was initiated for beam failure recovery:

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

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

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

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

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

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

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

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

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

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

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

### 5.1.4 Random Access Response reception

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

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

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

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

1> else:

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

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

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

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

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

2> consider the Random Access procedure successfully completed.

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

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

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

2> else:

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

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

3> consider this Random Access Response reception successful.

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

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

4> consider this Random Access procedure successfully completed;

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

3> else:

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

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

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

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

6> ignore the received UL grant.

5> else:

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

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

5> consider the Random Access procedure successfully completed.

4> else:

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

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

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

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

6> if the Random Access procedure was initiated for beam failure recovery:

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

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

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

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

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

2> consider the Random Access Response reception not successful;

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

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

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

4> indicate a Random Access problem to upper layers;

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

5> consider the Random Access procedure unsuccessfully completed.

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

4> consider the Random Access procedure unsuccessfully completed.

2> if the Random Access procedure is not completed:

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

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

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

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

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

3> else:

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

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

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

### 6.1.3.23 BFR MAC CEs

The BFR MAC CEs consists of either:

- BFR MAC CE; or

- Truncated BFR MAC CE.

The BFR MAC CEs are identified by a MAC subheader with LCID as specified in Table 6.2.1-2.

BFR MAC CE has a variable size. It includes a bitmap and in ascending order based on the *ServCellIndex*, beam failure recovery information i.e. octets containing candidate beam availability indication (AC) for SCells indicated in the bitmap. For BFR MAC CE, a single octet bitmap is used when the highest *ServCellIndex* of this MAC entity's SCell configured with beam failure detection is less than 8, otherwise four octets are used.

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

-    the highest *ServCellIndex* of this MAC entity's SCell configured with beam failure detection is less than 8; or

-    beam failure is detected for SpCell (as specified in Clause 5.17) and the SpCell is to be indicated in a Truncated BFR MAC CE and the UL-SCH resources available for transmission cannot accommodate the Truncated BFR MAC CE with the four octets bitmap plus its subheader as a result of LCP.

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

-     SP: This field indicates beam failure detection (as specified in clause 5.17) for the SpCell of this MAC entity. The SP field is set to 1 to indicate that beam failure is detected for SpCell only when BFR MAC CE or Truncated 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 (BFR MAC CE): This field indicates beam failure detection (as specified in clause 5.17) and the presence of an octet containing the AC field for the SCell with *ServCellIndex* i as specified in TS 38.331 [5]. If the Ci field set to 1, beam failure is detected and the octet containing the AC field is present for the SCell with *ServCellIndex* i. If the Ci field set to 0, the beam failure is not detected and octet 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*;

- Ci (Truncated 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]. If the Ci field set to 1, beam failure is detected and the octet containing the AC field for the SCell with *ServCellIndex* i may be present. If the Ci field set to 0, the beam failure is not detected and the octet containing the AC field is not present for the SCell with *ServCellIndex* i. The octets containing the AC field, if present, are incuded in ascending order based on the *ServCellIndex*. The number of octets containing the AC field included is maximised, while not exceeding the available grant size;

NOTE: The number of the octets containing the AC field in the Truncated BFR format can be zero.

- 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 *candidateBeamRSSCellList* or the CSI-RSs with CSI-RSRP above *rsrp-ThresholdBFR* amongst the CSI-RSs in *candidateBeamRSSCellList* 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;

- Candidate RS ID: This field is set to the index of an SSB with SS-RSRP above *rsrp-ThresholdBFR* amongst the SSBs in *candidateBeamRSSCellLis*t or to the index of a CSI-RS with CSI-RSRP above *rsrp-ThresholdBFR* amongst the CSI-RSs in *candidateBeamRSSCellLis*t. The length of this field is 6 bits.

- R: Reserved bit, set to 0.



**Figure 6.1.3.23-1: BFR and Truncated BFR MAC CE with single octet bitmap**



**Figure 6.1.3.23-2: BFR and Truncated BFR MAC CE with four octets bitmap**