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Contents

Intellectual Property Rights	2
Legal notice	2
Modal verbs terminology.....	2
Foreword.....	8
1 Scope	9
2 References	9
3 Symbols and abbreviations.....	10
3.1 Symbols.....	10
3.2 Abbreviations	10
4 Synchronization procedures	12
4.1 Cell search	12
4.2 Timing synchronization.....	12
4.2.1 Radio link monitoring.....	12
4.2.2 Inter-cell synchronization	12
4.2.3 Transmission timing adjustments	12
4.3 Timing for Secondary Cell Activation / Deactivation.....	14
5 Power control	15
5.1 Uplink power control.....	15
5.1.1 Physical uplink shared channel	16
5.1.1.1 UE behaviour	16
5.1.1.2 Power headroom	31
5.1.2 Physical uplink control channel.....	34
5.1.2.1 UE behaviour	35
5.1.3 Sounding Reference Symbol (SRS).....	40
5.1.3.1 UE behaviour	40
5.1.3.2 Power headroom for Type3 report	43
5.1.4 Power allocation for EUTRA dual connectivity	44
5.1.4.1 Dual connectivity power control Mode 1.....	44
5.1.4.2 Dual connectivity power control Mode 2.....	51
5.1.4a Power allocation for dual active protocol stack.....	56
5.1.5 Power allocation for PUCCH-SCell	56
5.2 Downlink power allocation	57
5.2.1 eNodeB Relative Narrowband TX Power (RNTP) restrictions	60
6 Random access procedure	61
6.1 Physical non-synchronized random access procedure.....	61
6.1.1 Timing	62
6.2 Random Access Response Grant.....	63
7 Physical downlink shared channel related procedures	68
7.1 UE procedure for receiving the physical downlink shared channel	70
7.1.1 Single-antenna port scheme	89
7.1.2 Transmit diversity scheme	89
7.1.3 Large delay CDD scheme	90
7.1.4 Closed-loop spatial multiplexing scheme	90
7.1.5 Multi-user MIMO scheme	90
7.1.5A Dual layer scheme.....	90
7.1.5B Up to 8 layer transmission scheme	90
7.1.6 Resource allocation.....	90
7.1.6.1 Resource allocation type 0	92
7.1.6.2 Resource allocation type 1	93
7.1.6.3 Resource allocation type 2	94
7.1.6.4 PDSCH starting position	97
7.1.6.4A PDSCH starting position for BL/CE UEs	99

7.1.6.5	Physical Resource Block (PRB) bundling.....	99
7.1.7	Modulation order and transport block size determination	101
7.1.7.1	Modulation order and redundancy version determination.....	104
7.1.7.2	Transport block size determination	110
7.1.7.2.1	Transport blocks not mapped to two or more layer spatial multiplexing	115
7.1.7.2.2	Transport blocks mapped to two-layer spatial multiplexing.....	124
7.1.7.2.3	Transport blocks mapped for DCI Format 1C and DCI Format 6-2.....	124
7.1.7.2.4	Transport blocks mapped to three-layer spatial multiplexing.....	125
7.1.7.2.5	Transport blocks mapped to four-layer spatial multiplexing.....	125
7.1.7.2.6	Transport blocks mapped for BL/CE UEs configured with CEModeB and PDSCH bandwidth up to 1.4MHz.....	126
7.1.7.2.7	Transport blocks mapped for BL/CE UEs <i>SystemInformationBlockType1-BR</i>	127
7.1.7.2.8	Transport blocks mapped for UEs configured with <i>ce-pdsch-maxBandwidth-config</i> value of 5 MHz or with <i>pdsch-MaxBandwidth-SC-MTCH</i> value of 24 PRBs	127
7.1.7.3	Redundancy Version determination for Format 1C	127
7.1.8	Storing soft channel bits	128
7.1.9	PDSCH resource mapping parameters.....	128
7.1.10	Antenna ports quasi co-location for PDSCH	130
7.1.11	PDSCH subframe assignment for BL/CE UE.....	131
7.2	UE procedure for reporting Channel State Information (CSI)	133
7.2.1	Aperiodic CSI Reporting using PUSCH	143
7.2.2	Periodic CSI Reporting using PUCCH	169
7.2.3	Channel Quality Indicator (CQI) definition.....	210
7.2.4	Precoding Matrix Indicator (PMI) definition.....	224
7.2.5	Channel-State Information – Reference Signal (CSI-RS) definition.....	252
7.2.6	Channel-State Information – Interference Measurement (CSI-IM) Resource definition.....	254
7.2.7	Zero Power CSI-RS Resource definition.....	254
7.2.8	CSI-RS Activation / Deactivation.....	254
7.3	UE procedure for reporting HARQ-ACK	255
7.3.1	FDD HARQ-ACK reporting procedure.....	259
7.3.2	TDD HARQ-ACK reporting procedure.....	264
7.3.2.1	TDD HARQ-ACK reporting procedure for same UL/DL configuration	264
7.3.2.2	TDD HARQ-ACK reporting procedure for different UL/DL configurations	280
7.3.3	FDD-TDD HARQ-ACK reporting procedure for primary cell frame structure type 1.....	287
7.3.4	FDD-TDD HARQ-ACK reporting procedure for primary cell frame structure type 2.....	289
8	Physical uplink shared channel related procedures	291
8.0	UE procedure for transmitting the physical uplink shared channel.....	292
8.0.1	Single-antenna port scheme	319
8.0.2	Closed-loop spatial multiplexing scheme	319
8.1	Resource allocation for PDCCH/EPDCCH/SPDCCH with uplink DCI format.....	320
8.1.1	Uplink resource allocation type 0	320
8.1.2	Uplink resource allocation type 1	321
8.1.3	Uplink resource allocation type 2	321
8.1.4	Uplink resource allocation type 3	322
8.1.5	Uplink resource allocation type 4	323
8.1.5.1	UL Resource Block Groups	323
8.1.6	Uplink resource allocation type 5	324
8.2	UE sounding procedure	326
8.3	UE HARQ-ACK procedure.....	338
8.3A	Autonomous uplink feedback procedure.....	340
8.4	UE PUSCH hopping procedure.....	340
8.4.1	Type 1 PUSCH hopping	341
8.4.2	Type 2 PUSCH hopping	341
8.5	UE Reference Symbol (RS) procedure.....	342
8.6	Modulation order, redundancy version and transport block size determination.....	343
8.6.1	Modulation order and redundancy version determination	343
8.6.2	Transport block size determination.....	351
8.6.3	Control information MCS offset determination.....	358
8.7	UE transmit antenna selection	362
8.8	Transmission timing adjustments	362

9	Physical downlink control channel procedures	362
9.1	UE procedure for determining physical downlink control channel assignment	363
9.1.1	PDCCH assignment procedure	363
9.1.2	PHICH assignment procedure.....	367
9.1.3	Control Format Indicator (CFI) assignment procedure.....	370
9.1.4	EPDCCH assignment procedure.....	371
9.1.4.1	EPDCCH starting position	378
9.1.4.2	Antenna ports quasi co-location for EPDCCH.....	378
9.1.4.3	Resource mapping parameters for EPDCCH	379
9.1.4.4	PRB-pair indication for EPDCCH	379
9.1.5	MPDCCH assignment procedure.....	380
9.1.5.1	MPDCCH starting position	388
9.1.5.2	Antenna ports quasi co-location for MPDCCH	388
9.1.5.3	Preconfigured Uplink Resource ACK/fallback procedure	388
9.1.6	SPDCCH assignment procedure	388
9.1.6.1	Resource mapping parameters for SPDCCH	390
9.1.6.2	PRB-pair indication for SPDCCH.....	390
9.1.6.3	Physical Resource Block (PRB) bundling for DMRS-based SPDCCH.....	391
9.1.6.4	Antenna ports quasi co-location for DMRS-based SPDCCH	391
9.2	PDCCH/EPDCCH/MPDCCH/SPDCCH validation for semi-persistent scheduling.....	392
9.2A	PDCCH/EPDCCH validation for autonomous uplink transmissions	394
9.3	PDCCH/EPDCCH/MPDCCH/SPDCCH control information procedure	395
10	Physical uplink control channel procedures	396
10.1	UE procedure for determining physical uplink control channel assignment.....	397
10.1.1	PUCCH format information.....	402
10.1.2	FDD HARQ-ACK feedback procedures.....	409
10.1.2.1	FDD HARQ-ACK procedure for one configured serving cell.....	409
10.1.2.2	FDD HARQ-ACK procedures for more than one configured serving cell	413
10.1.2.2.1	PUCCH format 1b with channel selection HARQ-ACK procedure.....	413
10.1.2.2.2	PUCCH format 3 HARQ-ACK procedure	417
10.1.2.2.3	PUCCH format 4 HARQ-ACK procedure	419
10.1.2.2.4	PUCCH format 5 HARQ-ACK procedure	423
10.1.3	TDD HARQ-ACK feedback procedures.....	423
10.1.3.1	TDD HARQ-ACK procedure for one configured serving cell.....	425
10.1.3.2	TDD HARQ-ACK procedure for more than one configured serving cell	439
10.1.3.2.1	PUCCH format 1b with channel selection HARQ-ACK procedure.....	439
10.1.3.2.2	PUCCH format 3 HARQ-ACK procedure	455
10.1.3.2.3	PUCCH format 4 HARQ-ACK procedure	463
10.1.3.2.4	PUCCH format 5 HARQ-ACK procedure	479
10.1.3A	FDD-TDD HARQ-ACK feedback procedures for primary cell frame structure type 2	479
10.1.4	HARQ-ACK Repetition procedure.....	481
10.1.5	Scheduling Request (SR) procedure	482
10.2	Uplink HARQ-ACK timing	484
11	Physical Multicast Channel (PMCH) related procedures.....	491
11.1	UE procedure for receiving the PMCH	491
11.2	UE procedure for receiving MCCH and system information change notification.....	494
12	Assumptions independent of physical channel.....	494
13	Uplink/Downlink configuration determination procedure for Frame Structure Type 2.....	495
13.1	UE procedure for determining eIMTA-uplink/downlink configuration.....	496
13A	Subframe configuration for Frame Structure Type 3	497
14	UE procedures related to Sidelink.....	500
14.1	Physical Sidelink Shared Channel related procedures.....	501
14.1.1	UE procedure for transmitting the PSSCH	501
14.1.1.1	UE procedure for determining subframes for transmitting PSSCH for sidelink transmission mode 1	503
14.1.1.1.1	Determination of subframe indicator bitmap.....	503
14.1.1.2	UE procedure for determining resource blocks for transmitting PSSCH for sidelink transmission mode 1.....	506

14.1.1.2.1	PSSCH resource allocation for sidelink transmission mode 1	506
14.1.1.2.2	PSSCH frequency hopping for sidelink transmission mode 1	507
14.1.1.3	UE procedure for determining subframes for transmitting PSSCH for sidelink transmission mode 2	507
14.1.1.4	UE procedure for determining resource blocks for transmitting PSSCH for sidelink transmission mode 2	508
14.1.1.4A	UE procedure for determining subframes and resource blocks for transmitting PSSCH for sidelink transmission mode 3	508
14.1.1.4B	UE procedure for determining subframes and resource blocks for transmitting PSSCH and reserving resources for sidelink transmission mode 4	509
14.1.1.4C	UE procedure for determining subframes and resource blocks for PSSCH transmission associated with an SCI format 1	509
14.1.1.5	UE procedure for PSSCH power control	510
14.1.1.6	UE procedure for determining the subset of resources to be reported to higher layers in PSSCH resource selection in sidelink transmission mode 4 and in sensing measurement in sidelink transmission mode 3	512
14.1.1.7	Conditions for selecting resources when the number of HARQ transmissions is two in sidelink transmission mode 4	515
14.1.2	UE procedure for receiving the PSSCH	515
14.1.3	UE procedure for determining resource block pool and subframe pool for sidelink transmission mode 2	516
14.1.5	UE procedure for determining resource block pool and subframe pool for sidelink transmission mode 3 and 4	517
14.2	Physical Sidelink Control Channel related procedures	518
14.2.1	UE procedure for transmitting the PSCCH	518
14.2.1.1	UE procedure for determining subframes and resource blocks for transmitting PSCCH for sidelink transmission mode 1	521
14.2.1.2	UE procedure for determining subframes and resource blocks for transmitting PSCCH for sidelink transmission mode 2	521
14.2.1.3	UE procedure for PSCCH power control	521
14.2.2	UE procedure for receiving the PSCCH	523
14.2.3	UE procedure for determining resource block pool and subframe pool for PSCCH	523
14.2.4	UE procedure for determining resource block pool for PSCCH in sidelink transmission mode 3 and 4	524
15	Void	527
16	UE Procedures related to narrowband IoT	527
16.1	Synchronization procedures	528
16.1.1	Cell search	528
16.1.2	Timing synchronization	528
16.2	Power control	528
16.2.1	Uplink power control	528
16.2.1.1	Narrowband physical uplink shared channel	529
16.2.1.1.1	UE behaviour	529
16.2.1.1.2	Power headroom	530
16.2.1.2	SR	530
16.2.1.2.1	UE behaviour	530
16.2.2	Downlink power allocation	530
16.3	Random access procedure	531
16.3.1	Physical non-synchronized random access procedure	531
16.3.2	Timing	532
16.3.3	Narrowband random access response grant	533
16.4	Narrowband physical downlink shared channel related procedures	534
16.4.1	UE procedure for receiving the narrowband physical downlink shared channel	535
16.4.1.1	Single-antenna port scheme	539
16.4.1.2	Transmit diversity scheme	539
16.4.1.3	Resource allocation	539
16.4.1.4	NPDSCH starting position	542
16.4.1.5	Modulation order and transport block size determination	543
16.4.1.5.1	Transport blocks not mapped for <i>SystemInformationBlockType1-NB</i>	544
16.4.1.5.2	Transport blocks mapped for <i>SystemInformationBlockType1-NB</i>	544

16.4.2	UE procedure for reporting ACK/NACK	545
16.5	Narrowband physical uplink shared channel related procedures.....	546
16.5.1	UE procedure for transmitting format 1 narrowband physical uplink shared channel.....	547
16.5.1.1	Resource allocation	549
16.5.1.2	Modulation order, redundancy version and transport block size determination.....	551
16.5.2	UE procedure for NPUSCH retransmission.....	553
16.5.3	UE procedure for transmitting SR	553
16.6	Narrowband physical downlink control channel related procedures.....	553
16.6.1	NPDCCH starting position	559
16.6.2	NPDCCH control information procedure	559
16.6.3	NPDCCH validation for semi-persistent scheduling	559
16.6.4	Preconfigured uplink resource ACK/fallback procedure.....	560
16.7	Assumptions independent of physical channel related to narrowband IoT	560
16.8	UE procedure for acquiring cell-specific reference signal sequence and raster offset	560
16.9	UE procedure for receiving narrowband wake up signal	561
17	Wake-up signal related procedures for BL/CE UE	562
Annex A (informative): Change history		563
History		585

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1 Scope

The present document specifies and establishes the characteristics of the physical layer procedures in the FDD and TDD modes of E-UTRA.

2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

- [1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".
- [2] 3GPP TS 36.201: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Layer – General Description".
- [3] 3GPP TS 36.211: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical channels and modulation".
- [4] 3GPP TS 36.212: "Evolved Universal Terrestrial Radio Access (E-UTRA); Multiplexing and channel coding".
- [5] 3GPP TS 36.214: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer – Measurements".
- [6] 3GPP TS 36.101: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) radio transmission and reception".
- [7] 3GPP TS 36.104: "Evolved Universal Terrestrial Radio Access (E-UTRA); Base Station (BS) radio transmission and reception".
- [8] 3GPP TS 36.321, "Evolved Universal Terrestrial Radio Access (E-UTRA); Medium Access Control (MAC) protocol specification".
- [9] 3GPP TS 36.423, "Evolved Universal Terrestrial Radio Access (E-UTRA); X2 Application Protocol (X2AP)".
- [10] 3GPP TS 36.133, "Evolved Universal Terrestrial Radio Access (E-UTRA); Requirements for support of radio resource management".
- [11] 3GPP TS 36.331, "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Resource Control (RRC) protocol specification".
- [12] 3GPP TS 36.306: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) radio access capabilities".
- [13] 3GPP TS 37.213: "Physical layer procedures for shared spectrum channel access".
- [14] 3GPP TS 36.304: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) procedures in idle mode".
- [15] 3GPP TS 38.321: "NR; Medium Access Control (MAC) protocol specification"
- [16] 3GPP TS 38.133: "NR; Requirements for support of radio resource management"
- [17] 3GPP TS 38.331: "NR; Radio Resource Control (RRC); Protocol specification"

3 Symbols and abbreviations

3.1 Symbols

For the purposes of the present document, the following symbols apply:

n_f	System frame number as defined in [3]
n_s	Slot number within a radio frame as defined in [3]
N_{cells}^{DL}	Number of configured cells
N_{RB}^{DL}	Downlink bandwidth configuration, expressed in units of N_{sc}^{RB} as defined in [3]
N_{RB}^{UL}	Uplink bandwidth configuration, expressed in units of N_{sc}^{RB} as defined in [3]
N_{symb}^{UL}	Number of SC-FDMA symbols in an uplink slot as defined in [3]
N_{sc}^{RB}	Resource block size in the frequency domain, expressed as a number of subcarriers as defined in [3]
T_s	Basic time unit as defined in [3]

3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

ACK	Acknowledgement
AUL	Autonomous Uplink
AUL-DFI	AUL downlink feedback information
BCH	Broadcast Channel
CCE	Control Channel Element
CDD	Cyclic Delay Diversity
CG	Cell Group
CIF	Carrier Indicator Field
CQI	Channel Quality Indicator
CRC	Cyclic Redundancy Check
CRI	CSI-RS Resource Indicator
CSI	Channel State Information
CSI-IM	CSI-interference measurement
DAI	Downlink Assignment Index
DC	Dual Connectivity
DCI	Downlink Control Information
DL	Downlink
DL-SCH	Downlink Shared Channel
DTX	Discontinuous Transmission
EDT	Early Data Transmission
EN-DC	E-UTRA NR Dual Connectivity with MCG using E-UTRA and SCG using NR
EPDCCH	Enhanced Physical Downlink Control Channel
EPRE	Energy Per Resource Element
MCG	Master Cell Group
MCS	Modulation and Coding Scheme
NACK	Negative Acknowledgement
NE-DC	NR E-UTRA Dual Connectivity with MCG using NR and SCG using E-UTRA
NPBCH	Narrowband Physical Broadcast CHannel
NPDCCH	Narrowband Physical Downlink Control CHannel
NPDSCH	Narrowband Physical Downlink Shared CHannel
NPRACH	Narrowband Physical Random Access CHannel
NPUSCH	Narrowband Physical Uplink Shared CHannel

NPSS	Narrowband Primary Synchronization Signal
NSSS	Narrowband Secondary Synchronization Signal
NRS	Narrowband Reference Signal
PBCH	Physical Broadcast Channel
PCFICH	Physical Control Format Indicator Channel
PDCCH	Physical Downlink Control Channel
PDSCH	Physical Downlink Shared Channel
PHICH	Physical Hybrid ARQ Indicator Channel
PMCH	Physical Multicast Channel
PMI	Precoding Matrix Indicator
PRACH	Physical Random Access Channel
PRS	Positioning Reference Signal
PRB	Physical Resource Block
PSBCH	Physical Sidelink Broadcast Channel
PSCCH	Physical Sidelink Control Channel
PSCell	Primary Secondary cell
PSDCH	Physical Sidelink Discovery Channel
PSSCH	Physical Sidelink Shared Channel
PSSS	Primary Sidelink Synchronisation Signal
PUCCH	Physical Uplink Control Channel
PUCCH-SCell	PUCCH SCell
PUR	Preconfigured Uplink Resource
PUSCH	Physical Uplink Shared Channel
PTI	Precoding Type Indicator
RBG	Resource Block Group
RE	Resource Element
RI	Rank Indication
RS	Reference Signal
RSS	Resynchronization Signal
SCG	Secondary Cell Group
SINR	Signal to Interference plus Noise Ratio
SPS C-RNTI	Semi-Persistent Scheduling C-RNTI
SR	Scheduling Request
SRS	Sounding Reference Symbol
SSSS	Secondary Sidelink Synchronisation Signal
TAG	Timing Advance Group
TBS	Transport Block Size
UCI	Uplink Control Information
UE	User Equipment
UL	Uplink
UL-SCH	Uplink Shared Channel
VRB	Virtual Resource Block

4 Synchronization procedures

4.1 Cell search

Cell search is the procedure by which a UE acquires time and frequency synchronization with a cell and detects the physical layer Cell ID of that cell. E-UTRA cell search supports a scalable overall transmission bandwidth corresponding to 6 resource blocks and upwards.

The following signals are transmitted in the downlink to facilitate cell search: the primary and secondary synchronization signals.

A UE may assume the antenna ports 0 – 3 and the antenna port for the primary/secondary synchronization signals of a serving cell are quasi co-located (as defined in [3]) with respect to Doppler shift and average delay.

For a BL/CE UE, if the UE is configured with higher layer parameter *RSS-Config*, the UE can use the resynchronization signal (as defined in [3]) to re-acquire time and frequency synchronization with the cell.

4.2 Timing synchronization

4.2.1 Radio link monitoring

The downlink radio link quality of the primary cell shall be monitored by the UE for the purpose of indicating out-of-sync/in-sync status to higher layers.

If the UE is configured with a SCG [11] and the parameter *rlf-TimersAndConstantsSCG* is provided by the higher layers and is not set to release, the downlink radio link quality of the PSCell [11] of the SCG shall be monitored by the UE for the purpose of indicating out-of-sync/in-sync status to higher layers.

In non-DRX mode operation, the physical layer in the UE shall every radio frame assess the radio link quality, evaluated over the previous time period defined in [10], against thresholds (Q_{out} and Q_{in}) defined by relevant tests in [10].

In DRX mode operation, the physical layer in the UE shall at least once every DRX period assess the radio link quality, evaluated over the previous time period defined in [10], against thresholds (Q_{out} and Q_{in}) defined by relevant tests in [10].

If higher-layer signalling indicates certain subframes for restricted radio link monitoring, the radio link quality shall not be monitored in any subframe other than those indicated.

The physical layer in the UE shall in radio frames where the radio link quality is assessed indicate out-of-sync to higher layers when the radio link quality is worse than the threshold Q_{out} . When the radio link quality is better than the threshold Q_{in} , the physical layer in the UE shall in radio frames where the radio link quality is assessed indicate in-sync to higher layers.

4.2.2 Inter-cell synchronization

No functionality is specified in this clause in this release.

4.2.3 Transmission timing adjustments

Upon reception of a timing advance command or a timing adjustment indication for a TAG containing the primary cell or PSCell, the UE shall adjust uplink transmission timing for PUCCH/PUSCH/SRS of the primary cell or PSCell based on the received timing advance command or a timing adjustment indication.

The UL transmission timing for PUSCH/SRS of a secondary cell is the same as the primary cell if the secondary cell and the primary cell belong to the same TAG. If the primary cell in a TAG has a frame structure type 1 and a secondary cell in the same TAG has a frame structure type 2 or frame structure 3, UE may assume that $N_{TA} \geq 624$.

If the UE is configured with a SCG, the UL transmission timing for PUSCH/SRS of a secondary cell other than the PSCell is the same as the PSCell if the secondary cell and the PSCell belong to the same TAG.

Upon reception of a timing advance command or a timing adjustment indication for a TAG not containing the primary cell or PSCell, if all the serving cells in the TAG have the same frame structure type, the UE shall adjust uplink transmission timing for PUSCH/SRS of all the secondary cells in the TAG based on the received timing advance command or a timing adjustment indication where the UL transmission timing for PUSCH /SRS is the same for all the secondary cells in the TAG.

Upon reception of a timing advance command or a timing adjustment indication for a TAG not containing the primary cell or PSCell, if a serving cell in the TAG has a different frame structure type compared to the frame structure type of another serving cell in the same TAG, the UE shall adjust uplink transmission timing for PUSCH/SRS of all the secondary cells in the TAG by using $N_{TAOffset} = 624$ regardless of the frame structure type of the serving cells and based on the received timing advance command or a timing adjustment indication where the UL transmission timing for PUSCH /SRS is the same for all the secondary cells in the TAG. $N_{TAOffset}$ is described in [3].

The timing adjustment indication specified in [11] indicates the initial N_{TA} used for a TAG. The timing advance command for a TAG indicates the change of the uplink timing relative to the current uplink timing for the TAG as multiples of $16 T_s$. The start timing of the random access preamble is specified in [3].

In case of random access response, an 11-bit timing advance command [8], T_A , for a TAG indicates N_{TA} values by index values of $T_A = 0, 1, 2, \dots, 256$ if the UE is configured with a SCG, and $T_A = 0, 1, 2, \dots, 1282$ otherwise, where an amount of the time alignment for the TAG is given by $N_{TA} = T_A \times 16$. N_{TA} is defined in [3].

In other cases, a 6-bit timing advance command [8] or the Timing advance adjustment field in DCI format 6-0A/B if present [4], T_A , for a TAG indicates adjustment of the current N_{TA} value, $N_{TA,old}$, to the new N_{TA} value, $N_{TA,new}$, by index values of $T_A = 0, 1, 2, \dots, 63$, where $N_{TA,new} = N_{TA,old} + (T_A - 31) \times 16$. Here, adjustment of N_{TA} value by a positive or a negative amount indicates advancing or delaying the uplink transmission timing for the TAG by a given amount respectively.

For a non-BL/CE UE, for a timing advance command received on

- subframe n , the corresponding adjustment of the uplink transmission timing shall apply from the beginning of subframe $n+5$ if the UE is configured with higher layer parameter *shortProcessingTime* and the corresponding PDCCH with CRC scrambled by C-RNTI is in the UE-specific search space, $n+6$ otherwise.
- slot n , the corresponding adjustment of the uplink transmission timing shall apply from the first subframe boundary no earlier than slot $[n+8]$.
- subslot n , the corresponding adjustment of the uplink transmission timing shall apply from the first subframe boundary no earlier than
 - subslot $[n+16]$ if higher layer parameter *proc-TimeAdv-r15* = 'nplus4set1'.
 - subslot $[n+18]$ if higher layer parameter *proc-TimeAdv-r15* = 'nplus6set1' or 'nplus6set2'.
 - subslot $[n+20]$ if higher layer parameter *proc-TimeAdv-r15* = 'nplus8set2'.

For serving cells in the same TAG, when the UE's uplink PUCCH/PUSCH/SRS transmissions in subframe n and subframe $n+1$ are overlapped due to the timing adjustment, the UE shall complete transmission of subframe n and not transmit the overlapped part of subframe $n+1$.

For a BL/CE UE, for a timing advance command received on subframe n , the corresponding adjustment of the uplink transmission timing shall apply for the uplink PUCCH/PUSCH/SRS transmissions in subframe $n+6+K_{Offset}$. When the BL/CE UE's uplink PUCCH/PUSCH/SRS transmissions in subframe n and subframe $n+1$ are on the same narrowband and are overlapped due to the timing adjustment, the UE shall complete transmission of subframe n and is not required to transmit in subframe $n+1$ until the first available symbol that has no overlapping portion with subframe n . When the BL/CE UE's uplink PUCCH/PUSCH/SRS transmissions in subframe n and subframe $n+1$ are on different narrowbands, and the timing adjustment occurs in the guard period for narrowband retuning, the UE is not required to transmit in subframe $n+1$ until the first available symbol that has no overlapping portion with subframe n and which does not reduce the guard period. The value of K_{Offset} is given by,

- if the UE is configured with the higher layer parameter *CellSpecificKoffset*,

$$K_{Offset} = K_{cell_offset} - K_{UE_offset} \text{ where}$$

K_{cell_offset} is the parameter *CellSpecificKoffset* provided by higher layers, and

K_{UE_offset} is the parameter *UESpecificOffset* provided by higher layers, otherwise $K_{UE_offset} = 0$

- otherwise,
- $K_{offset} = 0$.

If the received downlink timing changes and is not compensated or is only partly compensated by the uplink timing adjustment without timing advance command as specified in [10], the UE changes N_{TA} accordingly.

4.3 Timing for Secondary Cell Activation / Deactivation

When a UE receives an activation command [8] for a secondary cell in subframe n , the corresponding actions in [8] shall be applied no later than the minimum requirement defined in [10] and no earlier than subframe $n+8$, except for the following:

- the actions related to CSI reporting on a serving cell which is active in subframe $n+8$
- the actions related to the *sCellDeactivationTimer* associated with the secondary cell [8]

which shall be applied in subframe $n+8$.

- the actions related to CSI reporting on a serving cell which is not active in subframe $n+8$

which shall be applied in the earliest subframe after $n+8$ in which the serving cell is active.

When a UE receives an RRC configuration which configures secondary cell as activated [11] in subframe n , the corresponding actions in [8] shall be applied no later than the minimum requirement defined in [10] and no earlier than subframe $n+20$, except for the following:

- the actions related to CSI reporting on a serving cell which is active in subframe $n+20$
- the actions related to the *sCellDeactivationTimer* associated with the secondary cell [8]

which shall be applied in subframe $n+20$.

- the actions related to CSI reporting on a serving cell which is not active in subframe $n+20$

which shall be applied in the earliest subframe after $n+20$ in which the serving cell is active.

If a UE has been configured with *cqi-ShortPeriodicSCell* for a secondary cell, parameters *cqi-pmi-ConfigIndex* and *ri-ConfigIndex* in clause 7.2 are given by *cqi-ShortPeriodicSCell* from subframe $n+8$ until subframe $n+34$.

When a UE receives a deactivation command [8] for a secondary cell or the *sCellDeactivationTimer* associated with the secondary cell expires in subframe n , the corresponding actions in [8] shall apply no later than the minimum requirement defined in [10], except for the actions related to CSI reporting on a serving cell which is active which shall be applied in subframe $n+8$.