**3GPP TSG-RAN WG2 Meeting #109bis-e *R2-200xxxx***

**Elbonia, 20 – 30 April 2020**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.306** | **CR** | **0176** | **rev** | **5** | **Current version:** | **15.9.0** |  |
|  | | | | | | | | |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
|  | | | | | | | | |

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

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| ***Title:*** | Clarifying consequences if not supported | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Nokia, Nokia Shanghai Bell, NTT Docomo Inc. | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_newRAT-Core | | | | |  | ***Date:*** | | | 2020-04-27 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-15 |
|  | *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-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | “Consequences if the feature is not supported by the UE” in the RAN1/4 capability excel files was not included in 38.822 since most of the fields didn't provide any meaningful information (they just said that function A is not supported which does not add any value to RAN2). However, it has been noticed that some of them are prescribing some specific behavior which can be inadvertently lost if they are not included to TS 38.306. This CR plans to introduce them. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | In all the sections, the consequences if not approved are assimilated into the capability descriptions to provide meaningful information.  **Impact analysis**  Impacted functionality: UE radio capability interpretation when not supporting a given capability.  Impacted 5G architecture options:  NR-SA, (NG)EN-DC, NE-DC and NR-DC.  Inter-operability:   1. If the network is implemented according to the CR and the UE is not, the network may assume incorrectly of the default capabilities of the UE leading to possibly incorrect (re)configuration leading to radio link failure. 2. If the UE is implemented according to the CR and the network is not, , the network may assume incorrectly of the default capabilities of the UE leading to possibly incorrect (re)configuration leading to radio link failure. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | UE capability interpretation about what consequences are there if the UE does not support a given radio capability possibly incorrect (re)configuration leading to radio link failure. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 4.2.7.2, 4.2.7.7 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | | * r1 removed the reference to TR 38.822. * r2 removed the change to *maxNumberMIMO-LayersCB-PUSCH.* * *r3* changes made based on the feedback from companies for the email. discussion [3GPP RAN2#108] [NR R15] Consequences if not supported. * *r4:* Updated *codebookParameters* based on incoming RAN1 LS R1-2001307. * *r5:* Updated based on comment from rapporteur during RAN2#109e-bis. * r6: Update for [Post109bis-e][NR15] Default values for UE capability (Nokia) | | | | | | | | |

*First Modified Subclause*

4.2.7.2 *BandNR parameters*

| **Definitions for parameters** | **Per** | **M** | **FDD-TDD**  **DIFF** | **FR1-FR2**  **DIFF** |
| --- | --- | --- | --- | --- |
| ***additionalActiveTCI-StatePDCCH***  Indicates whether the UE supports one additional active TCI-State for control in addition to the supported number of active TCI-States for PDSCH. The UE can include this field only if *maxNumberActiveTCI-PerBWP* in *tci-StatePDSCH* is set to *n1*. Otherwise, the UE does not include this field. | Band | CY | No | No |
| ***aperiodicBeamReport***  Indicates whether the UE supports aperiodic 'CRI/RSRP' or 'SSBRI/RSRP' reporting on PUSCH. The UE provides the capability for the band number for which the report is provided (where the measurement is performed). | Band | Yes | No | No |
| ***aperiodicTRS***  Indicates whether the UE supports DCI triggering aperiodic TRS associated with periodic TRS. | Band | No | No | Yes |
| ***bandNR***  Defines supported NR frequency band by NR frequency band number, as specified in TS 38.101-1 [2] and TS 38.101-2 [3]. | Band | Yes | No | No |
| ***beamCorrespondenceWithoutUL-BeamSweeping***  Indicates how UE supports FR2 beam correspondence as specified in TS 38.101-2 [3], clause 6.6. The UE that fulfils the beam correspondence requirement without the uplink beam sweeping (as specified in TS 38.101-2 [3], clause 6.6) shall set the field to *supported*. The UE that fulfils the beam correspondence requirement with the uplink beam sweeping (as specified in TS 38.101-2 [3], clause 6.6) shall not report this field. | Band | Yes | No | FR2 only |
| ***beamManagementSSB-CSI-RS***  Defines support of SS/PBCH and CSI-RS based RSRP measurements. The capability comprises signalling of  - *maxNumberSSB-CSI-RS-ResourceOneTx* indicates maximum total number of configured one port NZP CSI-RS resources and SS/PBCH blocks that are supported by the UE to measure L1-RSRP as specified in TS 38.215 [13] within a slot and across all serving cells (see NOTE). On FR2, it is mandatory to report >=8; On FR1, it is mandatory with capability signalling to report >=8.  - *maxNumberCSI-RS-Resource* indicates maximum total number of configured NZP-CSI-RS resources that are supported by the UE to measure L1-RSRP as specified in TS 38.215 [13] across all serving cells (see NOTE). It is mandated to report at least n8 for FR1.  - *maxNumberCSI-RS-ResourceTwoTx* indicates maximum total number of two ports NZP CSI-RS resources that are supported by the UE to measure L1-RSRP as specified in TS 38.215 [13] within a slot and across all serving cells (see NOTE).  - *supportedCSI-RS-Density* indicates density of one RE per PRB for one port NZP CSI-RS resource for RSRP reporting, if supported. On FR2, it is mandatory to report either "three" or "oneAndThree"; On FR1, it is mandatory with capability signalling to report either "three" or "oneAndThree".  - *maxNumberAperiodicCSI-RS-Resource* indicates maximum number of configured aperiodic CSI-RS resources across all serving cells (see NOTE). For FR1 and FR2, the UE is mandated to report at least n4.  NOTE: If the UE sets a value other than *n0* in an FR1 band, it shall set that same value in all FR1 bands. If the UE sets a value other than *n0* in an FR2 band, it shall set that same value in all FR2 bands. The UE supports a total number of resources equal to the maximum of the FR1 and FR2 value, but no more than the FR1 value across all FR1 serving cells and no more than the FR2 value across all FR2 serving cells. | Band | Yes | No | Yes |
| ***beamReportTiming***  Indicates the number of OFDM symbols between the last symbol of SSB/CSI-RS and the first symbol of the transmission channel containing beam report. The UE provides the capability for the band number for which the report is provided (where the measurement is performed). The UE includes this field for each supported sub-carrier spacing. | Band | Yes | No | No |
| ***beamSwitchTiming***  Indicates the minimum number of OFDM symbols between the DCI triggering of aperiodic CSI-RS and aperiodic CSI-RS transmission. The number of OFDM symbols is measured from the last symbol containing the indication to the first symbol of CSI-RS. The UE includes this field for each supported sub-carrier spacing. If this field is not included, the maximum beam switch timing is up to 336 OFDM symbols. | Band | No | No | FR2 only |
| ***bwp-DiffNumerology***  Indicates whether the UE supports BWP adaptation up to 4 BWPs with the different numerologies, via DCI and timer. For the UE capable of this feature, the bandwidth of a UE-specific RRC configured DL BWP includes the bandwidth of the CORESET#0 (if CORESET#0 is present) and SSB for PCell and PSCell (if configured). For SCell(s), the bandwidth of the UE-specific RRC configured DL BWP includes SSB, if there is SSB on SCell(s). | Band | tNo | No | No |
| ***bwp-SameNumerology***  Defines type A/B BWP adaptation (up to 2/4 BWPs) with the same numerology, via DCI and timer. For the UE capable of this feature, the bandwidth of a UE-specific RRC configured DL BWP includes the bandwidth of the CORESET#0 (if CORESET#0 is present) and SSB for PCell and PSCell (if configured). For SCell(s), the bandwidth of the UE-specific RRC configured DL BWP includes SSB, if there is SSB on SCell(s). | Band | No | No | No |
| ***bwp-WithoutRestriction***  Indicates support of BWP operation without bandwidth restriction. The Bandwidth restriction in terms of DL BWP for PCell and PSCell means that the bandwidth of a UE-specific RRC configured DL BWP may not include the bandwidth of CORESET #0 (if configured) and SSB. For SCell(s), it means that the bandwidth of DL BWP may not include SSB. | Band | No | No | No |
| ***channelBWs-DL***  Indicates for each subcarrier spacing the UE supported channel bandwidths. Absence of the *channelBWs-DL* (without suffix) for a band or absence of specific scs-XXkHz entry for a supported subcarrier spacing means that the UE supports the channel bandwidths among [5, 10, 15, 20, 25, 30, 40, 50, 60, 80, 100] and [50, 100, 200] that were defined in clause 5.3.5 of TS 38.101-1 version 15.7.0 [2] and TS 38.101-2 version 15.7.0 [3] for the given band or the specific SCS entry.  For FR1, the bits in *channelBWs-DL* (without suffix) starting from the leading / leftmost bit indicate 5, 10, 15, 20, 25, 30, 40, 50, 60 and 80MHz. For FR2, the bits in *channelBWs-DL* (without suffix) starting from the leading / leftmost bit indicate 50, 100 and 200MHz. The third / rightmost bit (for 200MHz) shall be set to 1.  For FR1, the leading/leftmost bit in *channelBWs-DL-v1590* indicates 70MHz, and all the remaining bits in *channelBWs-DL-v1590* shall be set to 0.  NOTE: To determine whether the UE supports a specific SCS for a given band, the network validates the *supportedSubCarrierSpacingDL* and the *scs-60kHz*. To determine whether the UE supports a channel bandwidth of 90 MHz, the network may ignore this capability for and validate instead the *channelBW-90mhz* and the *supportedBandwidthCombinationSet*. For serving cells with other channel bandwidths the network validates the *channelBWs-DL*, the *supportedBandwidthCombinationSet* and *supportedBandwidthDL*. | Band | Yes | No | No |
| ***channelBWs-UL***  Indicates for each subcarrier spacing the UE supported channel bandwidths.  Absence of the *channelBWs-UL* (without suffix) for a band or absence of specific scs-XXkHz entry for a supported subcarrier spacing means that the UE supports the channel bandwidths among [5, 10, 15, 20, 25, 30, 40, 50, 60, 80, 100] and [50, 100, 200] that were defined in clause 5.3.5 of TS 38.101-1 version 15.7.0 [2] and TS 38.101-2 version 15.7.0 [3] for the given band or the specific SCS entry.  For FR1, the bits in *channelBWs-UL* (without suffix) starting from the leading / leftmost bit indicate 5, 10, 15, 20, 25, 30, 40, 50, 60 and 80MHz. For FR2, the bits in *channelBWs-UL* (without suffix) starting from the leading / leftmost bit indicate 50, 100 and 200MHz. The third / rightmost bit (for 200MHz) shall be set to 1.  For FR1, the leading/leftmost bit in *channelBWs-UL-v1590* indicates 70 MHz, and all the remaining bits in *channelBWs-UL-v1590* shall be set to 0.  NOTE: To determine whether the UE supports a specific SCS for a given band, the network validates the *supportedSubCarrierSpacingUL* and the *scs-60kHz*. To determine whether the UE supports a channel bandwidth of 90 MHz the network may ignore this capability for and validate instead the *channelBW-90mhz* and the *supportedBandwidthCombiantionSet*. For serving cells with other channel bandwidths the network validates the *channelBWs-UL*, the *supportedBandwidthCombinationSet* and *supportedBandwidthUL*. | Band | Yes | No | No |
| ***codebookParameters***  Indicates the codebooks and the corresponding parameters supported by the UE.  Parameters for type I single panel codebook (type1 singlePanel) supported by the UE, which are mandatory to report:  - *supportedCSI-RS-ResourceList.* The UE is mandated to report one or more instances;  - *modes* indicates supported codebook modes (mode 1, both mode 1 and mode 2). The UE is mandated to report “mode 1”;  - *maxNumberCSI-RS-PerResourceSet* indicates the maximum number of CSI-RS resource in a resource set. The UE is mandated to report at least 1 CSI-RS resource in a resource set.  Parameters for type I multi-panel codebook (type1 multiPanel) supported by the UE, which are optional:  - *supportedCSI-RS-ResourceList*;  - *modes* indicates supported codebook modes (mode 1, mode 2, or both mode 1 and mode 2);  - *maxNumberCSI-RS-PerResourceSet* indicates the maximum number of CSI-RS resource in a resource set;  - *nrofPanels* indicates supported number of panels.  Parameters for type II codebook (type2) supported by the UE, which are optional:  - *supportedCSI-RS-ResourceList*;  - *parameterLx* indicates the parameter "Lx" in codebook generation where x is an index of Tx ports indicated by *maxNumberTxPortsPerResource*;  - *amplitudeScalingType* indicates the amplitude scaling type supported by the UE (wideband or both wideband and sub-band);  - *amplitudeSubsetRestriction* indicates whether amplitude subset restriction is supported for the UE.  Parameters for type II codebook with port selection (type2-PortSelection) supported by the UE, which are optional:  - *supportedCSI-RS-ResourceList*;  - *parameterLx* indicates the parameter "Lx" in codebook generation where x is an index of Tx ports indicated by *maxNumberTxPortsPerResource*;  - *amplitudeScalingType* indicates the amplitude scaling type supported by the UE (wideband or both wideband and sub-band).  *supportedCSI-RS-ResourceList* includes list of the following parameters:  - *maxNumberTxPortsPerResource* indicates the maximum number of Tx ports in a resource;  - *maxNumberResourcesPerBand* indicates the maximum number of resources across all CCs within a band simultaneously;  - *totalNumberTxPortsPerBand* indicates the total number of Tx ports across all CCs within a band simultaneously.  If this field is not included, the Type I single panel code book shall be supported. | Band | FD | No | No |
| ***crossCarrierScheduling-SameSCS***  Indicates whether the UE supports cross carrier scheduling for the same numerology with carrier indicator field (CIF) in carrier aggregation where numerologies for the scheduling cell and scheduled cell are same. | Band | No | No | No |
| ***csi-ReportFramework***  Indicates whether the UE supports CSI report framework. This capability signalling comprises the following parameters:  - *maxNumberPeriodicCSI-PerBWP-ForCSI-Report* indicates the maximum number of periodic CSI report setting per BWP for CSI report. The UE is mandated to report one or higher values;  - *maxNumberPeriodicCSI-PerBWP-ForBeamReport* indicates the maximum number of periodic CSI report setting per BWP for beam report. The UE is mandated to report one or higher values.  - *maxNumberAperiodicCSI-PerBWP-ForCSI-Report* indicates the maximum number of aperiodic CSI report setting per BWP for CSI report. The UE is mandated to report one or higher values;  - *maxNumberAperiodicCSI-PerBWP-ForBeamReport* indicates the maximum number of aperiodic CSI report setting per BWP for beam report. The UE is mandated to report one or higher values;  - *maxNumberAperiodicCSI-triggeringStatePerCC* indicates the maximum number of aperiodic CSI triggering states in *CSI-AperiodicTriggerStateList* per CC. The UE is mandated to report three or higher values;  - *maxNumberSemiPersistentCSI-PerBWP-ForCSI-Report* indicates the maximum number of semi-persistent CSI report setting per BWP for CSI report. The UE is mandated to report zero or higher values;  - *maxNumberSemiPersistentCSI-PerBWP-ForBeamReport* indicates the maximum number of semi-persistent CSI report setting per BWP for beam report. The UE is mandated to report zero or higher values;  - *simultaneousCSI-ReportsPerCC* indicates the number of CSI report(s) for which the UE can measure and process reference signals simultaneously in a CC of the band for which this capability is provided. The CSI report comprises periodic, semi-persistent and aperiodic CSI and any latency classes and codebook types. The CSI report in simultaneousCSI-ReportsPerCC includes the beam report and CSI report. The UE is mandated to report one or higher values.  The UE is mandated to report *csi-ReportFramework*. | Band or UE | Yes | No | No |
| ***csi-RS-ForTracking***  Indicates support of CSI-RS for tracking (i.e. TRS). This capability signalling comprises the following parameters:  - *maxBurstLength* indicates the TRS burst length. Value 1 indicates 1 slot and value 2 indicates both of 1 slot and 2 slots. In this release UE is mandated to report value 2;  - *maxSimultaneousResourceSetsPerCC* indicates the maximum number of TRS resource sets per CC which the UE can track simultaneously. In this release UE is mandated to report value 1 or higher value;  - *maxConfiguredResourceSetsPerCC* indicates the maximum number of TRS resource sets configured to UE per CC. It is mandated to report at least 8 for FR1 and 16 for FR2;  - *maxConfiguredResourceSetsAllCC* indicates the maximum number of TRS resource sets configured to UE across CCs. If the UE includes the field in an FR1 band, it shall set the same value in all FR1 bands. If the UE includes the field in an FR2 band, it shall set the same value in all FR2 bands. The UE supports a total number of resources equal to the maximum of the FR1 and FR2 value, but no more than the FR1 value across all FR1 serving cells and no more than the FR2 value across all FR2 serving cells. The UE is mandated to report at least 16 for FR1 and 32 for FR2. | Band | Yes | No | No |
| ***csi-RS-IM-ReceptionForFeedback***  Indicates support of CSI-RS and CSI-IM reception for CSI feedback. This capability signalling comprises the following parameters:  - *maxConfigNumberNZP-CSI-RS-PerCC* indicates the maximum number of configured NZP-CSI-RS resources per CC. The UE is mandated to report one or higher values;  - *maxConfigNumberPortsAcrossNZP-CSI-RS-PerCC* indicates the maximum number of ports across all configured NZP-CSI-RS resources per CC. The UE is mandated to report 8 or higher values for FR1 and 2 or higher values for FR2;  - *maxConfigNumberCSI-IM-PerCC* indicates the maximum number of configured CSI-IM resources per CC. The UE is mandated to report one or higher values;  - *maxNumberSimultaneousNZP-CSI-RS-PerCC* indicates the maximum number of simultaneous CSI-RS-resources per CC. The UE is mandated to report one or higher values;  - *totalNumberPortsSimultaneousNZP-CSI-RS-PerCC* indicates the total number of CSI-RS ports in simultaneous CSI-RS resources per CC. The UE is mandated to report 8 or higher values for FR1 and 2 or higher values for FR2.  The UE is mandated to report *csi-RS-IM-ReceptionForFeedback.* | Band or UE | Yes | No | No |
| ***csi-RS-ProcFrameworkForSRS***  Indicates support of CSI-RS processing framework for SRS. This capability signalling comprises the following parameters:  - *maxNumberPeriodicSRS-AssocCSI-RS-PerBWP* indicates the maximum number of periodic SRS resources associated with CSI-RS per BWP;  - *maxNumberAperiodicSRS-AssocCSI-RS-PerBWP* indicates the maximum number of aperiodic SRS resources associated with CSI-RS per BWP;  - *maxNumberSP-SRS-AssocCSI-RS-PerBWP* indicates the maximum number of semi-persistent SRS resources associated with CSI-RS per BWP;  - *simultaneousSRS-AssocCSI-RS-PerCC* indicates the number of SRS resources that the UE can process simultaneously in a CC, including periodic, aperiodic and semi-persistent SRS. | Band or UE | No | No | No |
| ***extendedCP***  Indicates whether the UE supports 60 kHz subcarrier spacing with extended CP length for reception of PDCCH, and PDSCH, and transmission of PUCCH, PUSCH, and SRS. | Band | No | No | No |
| ***groupBeamReporting***  Indicates whether UE supports RSRP reporting for the group of two reference signals. | Band | No | No | No |
| ***maxNumberCSI-RS-BFD***  Indicates maximal number of CSI-RS resources across all CCs, and across MCG and SCG in case of NR-DC, for UE to monitor PDCCH quality. In this release, the maximum value that can be signalled is 16. If the UE includes the field in an FR1 band, it shall set the same value in all FR1 bands. If the UE includes the field in an FR2 band, it shall set the same value in all FR2 bands. The UE supports a total number of resources equal to the maximum of the FR1 and FR2 value, but no more than the FR1 value across all FR1 serving cells and no more than the FR2 value across all FR2 serving cells. It is mandatory with capability signalling for FR2 and optional for FR1. | Band | CY | No | No |
| ***maxNumberCSI-RS-SSB-CBD***  Defines maximal number of different CSI-RS [and/or SSB] resources across all CCs, and across MCG and SCG in case of NR-DC, for new beam identifications. In this release, the maximum value that can be signalled is 128. If the UE includes the field in an FR1 band, it shall set the same value in all FR1 bands. If the UE includes the field in an FR2 band, it shall set the same value in all FR2 bands. The UE supports a total number of resources equal to the maximum of the FR1 and FR2 value, but no more than the FR1 value across all FR1 serving cells and no more than the FR2 value across all FR2 serving cells. It is mandatory with capability signalling for FR2 and optional for FR1. The UE is mandated to report at least 32 for FR2. | Band | CY | No | No |
| ***maxNumberNonGroupBeamReporting***  Defines support of non-group based RSRP reporting using N\_max RSRP values reported. | Band | Yes | No | No |
| ***maxNumberRxBeam***  Defines whether UE supports receive beamforming switching using NZP CSI-RS resource. UE shall indicate a single value for the preferred number of NZP CSI-RS resource repetitions per CSI-RS resource set. Support of Rx beam switching is mandatory for FR2. | Band | CY | No | No |
| ***maxNumberRxTxBeamSwitchDL***  Defines the number of Tx and Rx beam changes UE can perform on this band within a slot. UE shall report one value per each subcarrier spacing supported by the UE. In this release, the number of Tx and Rx beam changes for scs-15kHz and scs-30kHz are not included. If this field is not included, UE has no restrictions for the number of Tx+Rx beam changes in a slot. | Band | No | No | FR2 only |
| ***maxNumberSSB-BFD***  Defines maximal number of different SSBs across all CCs, and across MCG and SCG in case of NR-DC, for UE to monitor PDCCH quality. In this release, the maximum value that can be signalled is 16. If the UE includes the field in an FR1 band, it shall set the same value in all FR1 bands. If the UE includes the field in an FR2 band, it shall set the same value in all FR2 bands. The UE supports a total number of resources equal to the maximum of the FR1 and FR2 value, but no more than the FR1 value across all FR1 serving cells and no more than the FR2 value across all FR2 serving cells. It is mandatory with capability signalling for FR2 and optional for FR1. | Band | CY | No | No |
| ***maxUplinkDutyCycle-PC2-FR1***  Indicates the maximum percentage of symbols during a certain evaluation period that can be scheduled for uplink transmission so as to ensure compliance with applicable electromagnetic energy absorption requirements provided by regulatory bodies. This field is only applicable for FR1 power class 2 UE as specified in clause 6.2.1 of TS 38.101-1 [2]. If the field is absent, 50% shall be applied. Value n60 corresponds to 60%, value n70 corresponds to 70% and so on. | Band | No | No | FR1 only |
| ***maxUplinkDutyCycle-FR2***  Indicates the maximum percentage of symbols during 1s that can be scheduled for uplink transmission so as to ensure compliance with applicable electromagnetic power density exposure requirements provided by regulatory bodies. This field is applicable for all power classes UE in FR2 as specified in TS 38.101-2 [3]. Value n15 corresponds to 15%, value n20 corresponds to 20% and so on. If the field is absent or the percentage of uplink symbols transmitted within any 1s evaluation period is larger than *maxUplinkDutyCycle-FR2*, the UE behaviour is specified in TS 38.101-2 [3]. | Band | No | No | FR2 only |
| ***modifiedMPR-Behaviour***  Indicates whether UE supports modified MPR behaviour defined in TS 38.101-1 [2] and TS 38.101-2 [3]. | Band | No | No | No |
| ***multipleTCI***  Indicates whether UE supports more than one TCI state configurations per CORESET. UE is only required to track one active TCI state per CORESET. UE is required to support minimum between 64 and number of configured TCI states indicated by *tci-StatePDSCH*. This field shall be set to *supported*. | Band | Yes | No | No |
| ***pdsch-256QAM-FR2***  Indicates whether the UE supports 256QAM modulation scheme for PDSCH for FR2 as defined in 7.3.1.2 of TS 38.211 [6]. | Band | No | No | FR2 only |
| ***periodicBeamReport***  Indicates whether UE supports periodic 'CRI/RSRP' or 'SSBRI/RSRP' reporting using PUCCH formats 2, 3 and 4 in one slot. | Band | Yes | No | No |
| ***powerBoosting-pi2BPSK***  Indicates whether UE supports power boosting for pi/2 BPSK, when applicable as defined in 6.2 of TS 38.101-1 [2]. | Band | No | TDD only | FR1 only |
| ***ptrs-DensityRecommendationSetDL***  For each supported sub-carrier spacing, indicates preferred threshold sets for determining DL PTRS density. It is mandated for FR2. For each supported sub-carrier spacing, this field comprises:  - two values of *frequencyDensity*;  - three values of *timeDensity*. | Band | CY | No | No |
| ***ptrs-DensityRecommendationSetUL***  For each supported sub-carrier spacing, indicates preferred threshold sets for determining UL PTRS density. For each supported sub-carrier spacing, this field comprises:  - two values of *frequencyDensity*;  - three values of *timeDensity*;  - five values of *sampleDensity*. | Band | No | No | No |
| ***pucch-SpatialRelInfoMAC-CE***  Indicates whether the UE supports indication of *PUCCH-spatialrelationinfo* by a MAC CE per PUCCH resource. It is mandatory for FR2 and optional for FR1. | Band | CY | No | No |
| ***pusch-256QAM***  Indicates whether the UE supports 256QAM modulation scheme for PUSCH as defined in 6.3.1.2 of TS 38.211 [6]. | Band | No | No | No |
| ***pusch-TransCoherence***  Defines support of the uplink codebook subset by the UE for UL precoding for PUSCH transmission as described in clause 6.1.1.1 of TS 38.214 [12]. UE indicated support of partial coherent codebook subset shall also support non-coherent codebook subset. UE indicated support of full coherent codebook subset shall also support partial and non-coherent codebook subset. | Band | No | No | No |
| ***rateMatchingLTE-CRS***  Indicates whether the UE supports receiving PDSCH with resource mapping that excludes the REs determined by the higher layer configuration LTE-carrier configuring common RS, as specified in TS 38.214 [12]. | Band | Yes | No | No |
| ***spatialRelations***  Indicates whether the UE supports spatial relations. The capability signalling comprises the following parameters.  - *maxNumberConfiguredSpatialRelations* indicates the maximum number of configured spatial relations per CC for PUCCH and SRS. It is not applicable to FR1 and applicable to FR2 only. The UE is mandated to report 16 or higher values;  - *maxNumberActiveSpatialRelations* indicates the maximum number of active spatial relations with regarding to PUCCH and SRS for PUSCH, per BWP per CC. It is not applicable to FR1 and applicable and mandatory to report one or higher values for FR2 only. ~~For FR2, the UE is mandated to report one or higher values~~;  - *additionalActiveSpatialRelationPUCCH* indicates support of one additional active spatial relation for PUCCH. It is mandatory with capability signalling if *maxNumberActiveSpatialRelations* is set to n1. If this field is not included, UE supports no additional active spatial relations for PUCCH;  - *maxNumberDL-RS-QCL-TypeD* indicates the maximum number of downlink RS resources used for QCL type D in the active TCI states and active spatial relation information, which is optional. If this field is not included, UE supports only one downlink RS resources for QCL type D in the active TCI states and active spatial relation information. | Band | FD | No | FD |
| ***sp-BeamReportPUCCH***  Indicates support of semi-persistent 'CRI/RSRP' or 'SSBRI/RSRP' reporting using PUCCH formats 2, 3 and 4 in one slot. | Band | No | No | Yes |
| ***sp-BeamReportPUSCH***  Indicates support of semi-persistent 'CRI/RSRP' or 'SSBRI/RSRP' reporting on PUSCH. | Band | No | No | Yes |
| ***srs-AssocCSI-RS***  Parameters for the calculation of the precoder for SRS transmission based on channel measurements using associated NZP CSI-RS resource (srs-AssocCSI-RS) as described in clause 6.1.1.2 of TS 38.214 [12]. UE supporting this feature shall also indicate support of non-codebook based PUSCH transmission.  This capability signalling includes list of the following parameters:  - *maxNumberTxPortsPerResource* indicates the maximum number of Tx ports in a resource;  - *maxNumberResourcesPerBand* indicates the maximum number of resources across all CCs within a band simultaneously;  *-* *totalNumberTxPortsPerBand* indicates the total number of Tx ports across all CCs within a band simultaneously. | Band | No | No | No |
| ***tci-StatePDSCH***  Defines support of TCI-States for PDSCH. The capability signalling comprises the following parameters:  - *maxNumberConfiguredTCIstatesPerCC* indicates the maximum number of configured TCI-states per CC for PDSCH. For FR2, the UE is mandated to set the value to 64. For FR1, the UE is mandated to set these values to the maximum number of allowed SSBs in the supported band;  - *maxNumberActiveTCI-PerBWP* indicates the maximum number of activated TCI-states per BWP per CC, including control and data. If a UE reports X active TCI state(s), it is not expected that more than X active QCL type D assumption(s) for any PDSCH and any CORESETs for a given BWP of a serving cell become active for the UE. The UE shall include this field and set the value to 1 or higher.  Note the UE is required to track only the active TCI states. | Band | Yes | No | No |
| ***twoPortsPTRS-UL***  Defines whether UE supports PT-RS with 2 antenna ports for UL transmission. | Band | No | No | No |
| ***ue-PowerClass***  For FR1, if the UE supports the different UE power class than the default UE power class as defined in clause 6.2 of TS 38.101-1 [2], the UE shall report the supported UE power class in this field. For FR2, UE shall report the supported UE power class as defined in clause 6 and 7 of TS 38.101-2 [3] in this field. | Band | Yes | No | No |
| ***uplinkBeamManagement***  Defines support of beam management for UL. This capability signalling comprises the following parameters:  - *maxNumberSRS-ResourcePerSet-BM* indicates the maximum number of SRS resources per SRS resource set configurable for beam management, supported by the UE.  - *maxNumberSRS-ResourceSet* indicates the maximum number of SRS resource sets configurable for beam management, supported by the UE.  If the UE does not set *beamCorrespondenceWithoutUL-BeamSweeping* to *supported*, the UE shall report this capability. This feature is optional for the UE that supports beam correspondence without uplink beam sweeping as defined in clause 6.6, TS 38.101-2 [3].  NOTE: The network uses *maxNumberSRS-ResourceSet* to determine the maximum number of SRS resource sets that can be configured to the UE for periodic/semi-persistent/aperiodic configurations as below:   |  |  | | --- | --- | | **Maximum number of SRS resource sets across all time domain behaviour (periodic/semi-persistent/aperiodic) reported in *maxNumberSRS-ResourceSet*** | **Additional constraint on the maximum number of SRS resource sets configured to the UE for each supported time domain behaviour (periodic/semi-persistent/aperiodic)** | | 1 | 1 | | 2 | 1 | | 3 | 1 | | 4 | 2 | | 5 | 2 | | 6 | 2 | | 7 | 4 | | 8 | 4 | | Band | No | No | FR2 only |
| Definitions for parameters | Per | M | FDD-TDD  DIFF | FR1-FR2  DIFF |
| ***scalingFactor***  Indicates the scaling factor to be applied to the band in the max data rate calculation as defined in 4.1.2. Value f0p4 indicates the scaling factor 0.4, f0p75 indicates 0.75, and so on. If absent, the scaling factor 1 is applied to the band in the max data rate calculation. | FS | Tbd | No | No |
| ***crossCarrierScheduling-OtherSCS***  Indicates whether the UE supports cross carrier scheduling for the different numerologies with carrier indicator field (CIF) in UL carrier aggregation where numerologies for the scheduling cell and scheduled cell are different. The UE shall set this field to the same value as *crossCarrierScheduling-OtherSCS* in the associated *FeatureSetDownlink* (if present).  NOTE: Cross-carrier scheduling with different numerologies is not supported in this release of specification. | FS | No | No | No |
| ***dynamicSwitchSUL***  Indicates whether the UE supports supplemental uplink with dynamic switch (DCI based selection of PUSCH carrier). | FS | No | No | No |
| ***featureSetListPerUplinkCC***  Indicates which features the UE supports on the individual UL carriers of the feature set (and hence of a band entry that refer to the feature set) by *FeatureSetUplinkPerCC-Id*. The UE shall hence include as many *FeatureSetUplinkPerCC-Id* in this list as the number of carriers it supports according to the *ca-bandwidthClassUL*. The order of the elements in this list is not relevant, i.e., the network may configure any of the carriers in accordance with any of the *FeatureSetUplinkPerCC-Id* in this list. A fallback per CC feature set resulting from the reported feature set per UL CC is not signalled but the UE shall support it. | FS | N/A | No | No |
| ***intraBandFreqSeparationUL***  Indicates UL frequency separation class the UE supports, which indicates a maximum frequency separation between lower edge of lowest CC and upper edge of highest CC in a frequency band, for intra-band non-contiguous CA. The UE sets the same value in the FeatureSetUplink of each band entry within a band. The values c1, c2 and c3 corresponds to the values defined in TS 38.101-2 [3]. It is mandatory to report for UE which supports UL non-contiguous CA in FR2. | FS | CY | No | FR2 only |
| ***pa-PhaseDiscontinuityImpacts***  Indicates incapability motivated by impacts of PA phase discontinuity with overlapping transmissions with non-aligned starting or ending times or hop boundaries across carriers for intra-band EN-DC, intra-band CA and FDM based ULSUP. | FS | No | No | No |
| ***pusch-ProcessingType1-DifferentTB-PerSlot***  Indicates whether the UE capable of processing time capability 1 supports transmission of up to two, four or seven unicast PUSCHs for several transport blocks in one serving cell within the same slot per CC that are multiplexed in time domain only. | FS | No | No | No |
| ***pusch-ProcessingType2***  Indicates whether the UE supports PUSCH processing capability 2. The UE supports it only if all serving cells are self-scheduled and if all serving cells in one band on which the network configured processingType2 use the same subcarrier spacing. This capability signalling comprises the following parameters for each sub-carrier spacing supported by the UE.  - *fallback* indicates whether the UE supports PUSCH processing capability 2 when the number of configured carriers is larger than *numberOfCarriers* for a reported value of *differentTB-PerSlot*. If *fallback* = 'sc', UE supports capability 2 processing time on lowest cell index among the configured carriers in the band where the value is reported, if *fallback* = 'cap1-only', UE supports only capability 1, in the band where the value is reported;  - *differentTB-PerSlot* indicates whether the UE supports processing type 2 for 1, 2, 4 and/or 7 unicast PUSCHs for different transport blocks per slot per CC; and if so, it indicates up to which number of CA serving cells the UE supports that number of unicast PUSCHs for different TBs. The UE shall include at least one of *numberOfCarriers* for 1, 2, 4 or 7 transport blocks per slot in this field if *pusch-ProcessingType2* is indicated. | FS | No | No | FR1 only |
| ***pusch-SeparationWithGap***  Indicates whether the UE supports separation of two unicast PUSCHs with a gap, applicable to Sub-carrier spacings of 15 KHz, 30 KHz and 60 KHz only. For any two consecutive slots n and n+1, if there are more than 1 unicast PUSCH in either slot, the minimum time separation between starting time of any two unicast PUSCHs within the duration of these slots is 2 OFDM symbols for 15kHz, 4 OFDM symbols for 30kHz and 7 OFDM symbols for 60kHz. | FS | No | No | No |
| ***searchSpaceSharingCA-UL***  Defines whether the UE supports UL PDCCH search space sharing for carrier aggregation operation. | FS | No | No | No |
| ***simultaneousTxSUL-NonSUL***  Indicates whether the UE supports simultaneous transmission of SRS on an SUL/non-SUL carrier and PUSCH/PUCCH/SRS on the other UL carrier in the same cell. | FS | No | No | No |
| ***twoPUCCH-Group***  Indicates whether two PUCCH group in CA with a same numerology across CCs for data and control channel [at a given time] is supported by the UE. For NR CA, two PUCCH group is supported with the same numerology across NR carriers for data and control channel at a given time. For EN-DC, two PUCCH group is supported with the same numerology across NR carriers for data and control channel at a given time, wherein an NR PUCCH group is configured in FR1 and another NR PUCCH group is configured in FR2. | FS | No | No | No |
| ***ul-MCS-TableAlt-DynamicIndication***  Indicates whether the UE supports dynamic indication of MCS table using MCS-C-RNTI for PUSCH. | FS | No | No | No |
| ***zeroSlotOffsetAperiodicSRS***  Indicates whether the UE supports 0 slot offset between aperiodic SRS triggering and transmission, for SRS for CB PUSCH and antenna switching on FR1. | FS | No | No | No |

*Next Modified Subclause*

#### 4.2.7.7 *FeatureSetUplink* parameters

| Definitions for parameters | Per | M | FDD-TDD  DIFF | FR1-FR2  DIFF |
| --- | --- | --- | --- | --- |
| ***scalingFactor***  Indicates the scaling factor to be applied to the band in the max data rate calculation as defined in 4.1.2. Value f0p4 indicates the scaling factor 0.4, f0p75 indicates 0.75, and so on. If absent, the scaling factor 1 is applied to the band in the max data rate calculation. | FS | No | No | No |
| ***crossCarrierScheduling-OtherSCS***  Indicates whether the UE supports cross carrier scheduling for the different numerologies with carrier indicator field (CIF) in UL carrier aggregation where numerologies for the scheduling cell and scheduled cell are different. The UE shall set this field to the same value as *crossCarrierScheduling-OtherSCS* in the associated *FeatureSetDownlink* (if present).  NOTE: Cross-carrier scheduling with different numerologies is not supported in this release of specification. | FS | No | No | No |
| ***dynamicSwitchSUL***  Indicates whether the UE supports supplemental uplink with dynamic switch (DCI based selection of PUSCH carrier). | FS | No | No | No |
| ***featureSetListPerUplinkCC***  Indicates which features the UE supports on the individual UL carriers of the feature set (and hence of a band entry that refer to the feature set) by *FeatureSetUplinkPerCC-Id*. The UE shall hence include as many *FeatureSetUplinkPerCC-Id* in this list as the number of carriers it supports according to the *ca-bandwidthClassUL*. The order of the elements in this list is not relevant, i.e., the network may configure any of the carriers in accordance with any of the *FeatureSetUplinkPerCC-Id* in this list. A fallback per CC feature set resulting from the reported feature set per UL CC is not signalled but the UE shall support it. | FS | N/A | No | No |
| ***intraBandFreqSeparationUL***  Indicates UL frequency separation class the UE supports, which indicates a maximum frequency separation between lower edge of lowest CC and upper edge of highest CC in a frequency band, for intra-band non-contiguous CA. The UE sets the same value in the FeatureSetUplink of each band entry within a band. The values c1, c2 and c3 corresponds to the values defined in TS 38.101-2 [3]. It is mandatory to report for UE which supports UL non-contiguous CA in FR2. | FS | CY | No | FR2 only |
| ***pa-PhaseDiscontinuityImpacts***  Indicates incapability motivated by impacts of PA phase discontinuity with overlapping transmissions with non-aligned starting or ending times or hop boundaries across carriers for intra-band EN-DC, intra-band CA and FDM based ULSUP. | FS | No | No | No |
| ***pusch-ProcessingType1-DifferentTB-PerSlot***  Indicates whether the UE capable of processing time capability 1 supports transmission of up to two, four or seven unicast PUSCHs for several transport blocks in one serving cell within the same slot per CC that are multiplexed in time domain only. | FS | No | No | No |
| ***pusch-ProcessingType2***  Indicates whether the UE supports PUSCH processing capability 2. The UE supports it only if all serving cells are self-scheduled and if all serving cells in one band on which the network configured processingType2 use the same subcarrier spacing. This capability signalling comprises the following parameters for each sub-carrier spacing supported by the UE.  - *fallback* indicates whether the UE supports PUSCH processing capability 2 when the number of configured carriers is larger than *numberOfCarriers* for a reported value of *differentTB-PerSlot*. If *fallback* = 'sc', UE supports capability 2 processing time on lowest cell index among the configured carriers in the band where the value is reported, if *fallback* = 'cap1-only', UE supports only capability 1, in the band where the value is reported;  - *differentTB-PerSlot* indicates whether the UE supports processing type 2 for 1, 2, 4 and/or 7 unicast PUSCHs for different transport blocks per slot per CC; and if so, it indicates up to which number of CA serving cells the UE supports that number of unicast PUSCHs for different TBs. The UE shall include at least one of *numberOfCarriers* for 1, 2, 4 or 7 transport blocks per slot in this field if *pusch-ProcessingType2* is indicated. | FS | No | No | FR1 only |
| ***pusch-SeparationWithGap***  Indicates whether the UE supports separation of two unicast PUSCHs with a gap, applicable to Sub-carrier spacings of 15 kHz, 30 kHz and 60 kHz only. For any two consecutive slots n and n+1, if there are more than 1 unicast PUSCH in either slot, the minimum time separation between starting time of any two unicast PUSCHs within the duration of these slots is 2 OFDM symbols for 15kHz, 4 OFDM symbols for 30kHz and 7 OFDM symbols for 60kHz. | FS | No | No | No |
| ***searchSpaceSharingCA-UL***  Defines whether the UE supports UL PDCCH search space sharing for carrier aggregation operation. | FS | No | No | No |
| ***simultaneousTxSUL-NonSUL***  Indicates whether the UE supports simultaneous transmission of SRS on an SUL/non-SUL carrier and PUSCH/PUCCH/SRS on the other UL carrier in the same cell. | FS | No | No | No |
| ***supportedSRS-Resources***  Defines support of SRS resources. The capability signalling comprising indication of:  - *maxNumberAperiodicSRS-PerBWP* indicates supported maximum number of aperiodic SRS resources that can be configured for the UE per each BWP  - *maxNumberAperiodicSRS-PerBWP-PerSlot* indicates supported maximum number of aperiodic SRS resources per slot in the BWP  - *maxNumberPeriodicSRS-PerBWP* indicates supported maximum number of periodic SRS resources per BWP  - *maxNumberPeriodicSRS-PerBWP-PerSlot* indicates supported maximum number of periodic SRS resources per slot in the BWP  - *maxNumberSemiPersistentSRS-PerBWP* indicate supported maximum number of semi-persistent SRS resources that can be configured for the UE per each BWP  - *maxNumberSemiPersistentSRS-PerBWP-PerSlot* indicates supported maximum number of semi-persistent SRS resources per slot in the BWP  - *maxNumberSRS-Ports-PerResource* indicates supported maximum number of SRS antenna port per each SRS resource  If this field is not included, the UE suports one periodic, one aperiodic, no semi-persistent SRS resources per BWP per slot and one SRS antenna port per SRS resource. | FS | Yes | No | No |
| ***twoPUCCH-Group***  Indicates whether two PUCCH group in CA with a same numerology across CCs for data and control channel [at a given time] is supported by the UE. For NR CA, two PUCCH group is supported with the same numerology across NR carriers for data and control channel at a given time. For EN-DC, two PUCCH group is supported with the same numerology across NR carriers for data and control channel at a given time, wherein an NR PUCCH group is configured in FR1 and another NR PUCCH group is configured in FR2. | FS | No | No | No |
| ***ul-MCS-TableAlt-DynamicIndication***  Indicates whether the UE supports dynamic indication of MCS table using MCS-C-RNTI for PUSCH. | FS | No | No | No |
| ***zeroSlotOffsetAperiodicSRS***  Indicates whether the UE supports 0 slot offset between aperiodic SRS triggering and transmission, for SRS for CB PUSCH and antenna switching on FR1. | FS | No | No | No |