**3GPP TSG-RAN WG2 Meeting #111 electronic R2-2008642**

**Online, August 17th - 28th, 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **38.306** | **CR** | **0407** | **rev** | **-** | **Current version:** | **16.1.0** |  |
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| *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)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network |  | Core Network | **X** |

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| ***Title:***  |  |
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| ***Source to WG:*** | China Telecom, Huawei, HiSilicon, OPPO, ZTE Corporation, Apple, vivo, CATT |
| ***Source to TSG:*** | R2 |
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| ***Work item code:*** | NR\_RF\_FR1 |  | ***Date:*** | 2020-8-28 |
|  |  |  |  |  |
| ***Category:*** | **F** |  | ***Release:*** | Rel-16 |
|  | *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 canbe 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)* |
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| ***Reason for change:*** | This CR merged changes in related contributions.1. For R16 dynamic UL Tx switching, *supportedBandCombinationList-UplinkTxSwitch* was introduced to report dynamic UL Tx switching related UE capabilities including R16 UL Tx switching specific UE capabilities and other UE capabilities. The following clarifications should be made:
* The fallback band combination should be supported in this R16 BC list to avoid unnecessary signalling overhead. But compared to the fallback in R15 BC list there should be some exceptions, i.e. only the lower order BC including the same band pair supporting UL Tx switching can be considered as a fallback BC of the parent BC reported in *supportedBandCombinationList-UplinkTxSwitch-r16*.
1. Introducing power boosting in UL Tx switching CA case: according to the exception sheet (RP-201379) approved in RAN#88e meeting, one remaining issue in RAN2 is:

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| RAN2:* The capability to indicate support of power boosting for CA case, and the RRC signalling to indicate whether such power boosting for CA case is allowed will be specified.
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In the endorsed WF (RP-201365), see below:

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| *#Extracted from RP-201365#*For RAN2, the capability to indicate support of power boosting for CA case, and the RRC signaling to indicate whether such power boosting for CA case is allowed will be specified in Q3, while keep the RAN2 CR pack to this RAN plenary as approved. The capability for 3dB power boosting is defined per band combination. No spec change for RAN2 RRC procedures and MAC procedures. Send the LS to RAN2 in this RAN plenary.…Revise the 38.101-1 CR in RP-200879 to add the indication of 3dB power boosting for carrier 2 with 2Tx for transmission in Case 2, i.e., add the newly proposed text from ZTE.In the CR, the power boosting for carrier 2 with 2Tx is only applied to PC3 CA, i.e., not applied to PC2 CA (the same per BC power class, i.e. PC3 in this case is applied regardless of transmission in Case 1 or Case 2) |

This CR is provided to capture above requirements.1. In the last RAN2 meeting, it was agreed to clarify the support of NGEN-DC for UE capabilities. However, for the Rel-16 UL Tx switching capabilities applicable to EN-DC (e.g.*ULTxSwitchingBandPair-r16*), it is still unclear whether the capability also applies to NGEN-DC. Hence, this CR aims at clarifying the the support of NGEN-DC for the Rel-16 UL Tx switching UE capabilities that apply to EN-DC.
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| ***Summary of change:*** | 1. In 4.2.7.11 Other PHY parameters, for *supportedBandCombinationList-UplinkTxSwitch*, add clarification that
* All fallback band combinations resulting from the reported band combination, which include at least one band pair supporting dynamic UL Tx switching as indicated in *ULTxSwitchingBandPair*, shall be supported by the UE.
1. Adding field description of *uplinkTxSwitching-PowerBoosting* to section 4.2.7.1.
2. Adding the clarification of supporting NGEN-DC in the description of *ULTxSwitchingBandPair-r16* and *uplinkTxSwitching-OptionSupport-r16*.

**Impact analysis**Impacted 5G architecture options:NR SA, (NG)EN-DCImpacted functionality:Dynamic UL Tx switchingInter-operability: 1. If the network implements the CR and the UE does not, the UE may consider a lower order band combination not including a band pair supporting UL Tx switching as a fallback BC and not report it. But network will consider the UE not support this BC, then will not configure this BC to UE for transmission.

If the network implements the CR and the UE does not, the UE is unable to report the support of power boosting capability to network, thus network cannot enable the power boosting for UL Tx switching CA case. 1. If the UE implements the CR the network does not, the UE needs to report a lower order band combination not including a band pair supporting UL Tx switching explicitly, so there is no interoperability issue.

If the UE implements the CR the network does not, the network cannot decode the power boosting capability and cannot enable the power boosting function for UL Tx switching CA case. 1. If UE implements according to the CR and the network does not, it is unclear for network how to interpret whether the reported UE capability is also supported for NGEN-DC;

If the network implements according to the CR and the UE does not, the UE is unable to report related UE capabilities for NGEN-DC. The network may assume those capabilities are not supported by UE in NGEN-DC |
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| ***Consequences if not approved:*** | It is not clear how the UE and network interpret which BC can be the fallback BC in *supportedBandCombinationList-UplinkTxSwitch-r16.*For UE supports UL Tx switching in CA case, the UE is unable to report the support of 3dB power boosting on carrier 2 in case2.It is still unclear whether the capability *ULTxSwitchingBandPair-r16* or *uplinkTxSwitching-OptionSupport-r16* is also applicable to NGEN-DC. |
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| ***Clauses affected:*** | 4.2.7.1, 4.2.7.11 |
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|  | **Y** | **N** |  |  |
| ***Other specs*** | **X** |  |  Other core specifications  | TS38.331 … CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
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| ***Other comments:*** |  |
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| ***This CR's revision history:*** |  |

START OF CHANGES

### 4.2.7 Physical layer parameters

4.2.7.1 *BandCombinationList* parameters

| **Definitions for parameters** | **Per** | **M** | **FDD-TDD****DIFF** | **FR1-FR2****DIFF** |
| --- | --- | --- | --- | --- |
| ***bandEUTRA***Defines supported EUTRA frequency band by NR frequency band number, as specified in TS 36.101 [14]. | Band | Yes | N/A | N/A |
| ***bandList***Each entry of the list should include at least one bandwidth class for UL or DL. | BC | Yes | N/A | N/A |
| ***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 | N/A | N/A |
| ***ca-BandwidthClassDL-EUTRA***Defines for DL, the class defined by the aggregated transmission bandwidth configuration and maximum number of component carriers supported by the UE, as specified in TS 36.101 [14]. When all FeatureSetEUTRA-DownlinkId:s in the corresponding FeatureSetsPerBand are zero, this field is absent. | Band | No | N/A | N/A |
| ***ca-BandwidthClassDL-NR***Defines for DL, the class defined by the aggregated transmission bandwidth configuration and maximum number of component carriers supported by the UE, as specified in TS 38.101-1 [2] and TS 38.101-2 [3]. When all FeatureSetDownlinkId:s in the corresponding FeatureSetsPerBand are zero, this field is absent. For FR1, the value 'F' shall not be used as it is invalidated in TS 38.101-1 [2]. | Band | No | N/A | N/A |
| ***ca-BandwidthClassUL-EUTRA***Defines for UL, the class defined by the aggregated transmission bandwidth configuration and maximum number of component carriers supported by the UE, as specified in TS 36.101 [14]. When all FeatureSetEUTRA-UplinkId:s in the corresponding FeatureSetsPerBand are zero, this field is absent. | Band | No | N/A | N/A |
| ***ca-BandwidthClassUL-NR***Defines for UL, the class defined by the aggregated transmission bandwidth configuration and maximum number of component carriers supported by the UE, as specified in TS 38.101-1 [2] and TS 38.101-2 [3]. When all FeatureSetUplinkId:s in the corresponding FeatureSetsPerBand are zero, this field is absent. For FR1, the value 'F' shall not be used as it is invalidated in TS 38.101-1 [2]. | Band | No | N/A | N/A |
| ***ca-ParametersEUTRA***Contains the EUTRA part of band combination parameters for a given (NG)EN-DC/NE-DC band combination. | BC | No | N/A | N/A |
| ***ca-ParametersNR***Contains the NR band combination parameters for a given (NG)EN-DC/NE-DC and/or NR CA band combination. | BC | No | N/A | N/A |
| ***ca-ParametersNRDC***Indicates whether the UE supports NR-DC for the band combination. It contains the NR band combination parameters applicable across MCG and SCG. | BC | No | N/A | N/A |
| ***featureSetCombination***Indicates the feature set that the UE supports on the NR and/or MR-DC band combination by FeatureSetCombinationId. | BC | N/A | N/A | N/A |
| ***mrdc-Parameters***Contains the band combination parameters for a given (NG)EN-DC/NE-DC band combination. | BC | No | N/A | N/A |
| ***ne-DC-BC***Indicates whether the UE supports NE-DC for the band combination. | BC | No | N/A | N/A |
| ***powerClass, powerClass-v1610***Indicates power class the UE supports when operating according to this band combination. If the field is absent, the UE supports the default power class. If this power class is higher than the power class that the UE supports on the individual bands of this band combination (*ue-PowerClass* in *BandNR*), the latter determines maximum TX power available in each band. The UE sets the power class parameter only in band combinations that are applicable as specified in TS 38.101-1 [2] and TS 38.101-3 [4]. | BC | No | N/A | FR1 only |
| ***SRS-SwitchingTimeNR***Indicates the interruption time on DL/UL reception within a NR band pair during the RF retuning for switching between a carrier on one band and another (PUSCH-less) carrier on the other band to transmit SRS. *switchingTimeDL/ switchingTimeUL*:n0us represents 0 us, n30us represents 30us, and so on. *switchingTimeDL/ switchingTimeUL* is mandatory present if switching between the NR band pair is supported, otherwise the field is absent. It is signalled per pair of bands per band combination. | FD | No | N/A | N/A |
| ***SRS-SwitchingTimeEUTRA***Indicates the interruption time on DL/UL reception within a EUTRA band pair during the RF retuning for switching between a carrier on one band and another (PUSCH-less) carrier on the other band to transmit SRS. *switchingTimeDL/ switchingTimeUL:* n0 represents 0 OFDM symbols, n0dot5 represents 0.5 OFDM symbols, n1 represents 1 OFDM symbol and so on. *switchingTimeDL/ switchingTimeUL* is mandatory present if switching between the EUTRA band pair is supported, otherwise the field is absent. It is signalled per pair of bands per band combination. | FD | No | N/A | N/A |
| ***srs-TxSwitch, srs-TxSwitch-v1610***Defines whether UE supports SRS for DL CSI acquisition as defined in clause 6.2.1.2 of TS 38.214 [12]. The capability signalling comprises of the following parameters:- *supportedSRS-TxPortSwitch* indicates SRS Tx port switching pattern supported by the UE, which is mandatory with capability signaling. The indicated UE antenna switching capability of ′xTyR′ corresponds to a UE, capable of SRS transmission on ′x′ antenna ports over total of ′y′ antennas, where ′y′ corresponds to all or subset of UE receive antennas, where 2T4R is two pairs of antennas. *supportedSRS-TxPortSwitch-v1610*, which is optional to report, indicates downgrading configuration of SRS Tx port switching pattern. If the UE indicates the support of downgrading configuration of SRS Tx port switching pattern using *supportedSRS-TxPortSwitch-v1610*, the UE shall report the values for this as below, based on what is reported in *supportedSRS-TxPortSwitch*.

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| ***supportedSRS-TxPortSwitch*** | ***supportedSRS-TxPortSwitch-v1610*** |
| *t1r2* | *t1r1-t1r2* |
| *t1r4* | *t1r1-t1r2-t1r4* |
| *t2r4* | *t1r1-t1r2-t2r2-t2r4* |
| *t2r2* | *t1r1-t2r2* |
| *t4r4* | *t1r1-t2r2-t4r4* |
| *t1r4-t2r4* | *t1r1-t1r2-t2r2-t1r4-t2r4* |

- *txSwitchImpactToRx* indicates the entry number of the first-listed band with UL (see NOTE) in the band combination that affects this DL, which is mandatory with capability signaling;- *txSwitchWithAnotherBand* indicates the entry number of the first-listed band with UL (see NOTE) in the band combination that switches together with this UL, which is mandatory with capability signaling.For *txSwitchImpactToRx* and *txSwitchWithAnotherBand*, value 1 means first entry, value 2 means second entry and so on. All DL and UL that switch together indicate the same entry number.The entry number is the band entry number in a band combination. The UE is restricted not to include fallback band combinations for the purpose of indicating different SRS antenna switching capabilities.NOTE: The first-listed band with UL includes a band associated with *FeatureSetUplinkId* set to 0 corresponding to the support of SRS-SwitchingTimeNR. | BC | FD | N/A | N/A |
| ***supportedBandwidthCombinationSet***Defines the supported bandwidth combination for the band combination set as defined in the TS 38.101-1 [2], TS 38.101-2 [3] and TS 38.101-3 [4]. For NR SA CA, NR-DC, inter-band (NG)EN-DC without intra-band (NG)EN-DC component and intra-band (NG)EN-DC with additional inter-band NR CA component, the field defines the bandwidth combinations for the NR part of the band combination. For intra-band (NG)EN-DC without additional inter-band NR and LTE CA component, the field indicates the supported bandwidth combination set applicable to the NR and LTE band combinations. Field encoded as a bit map, where bit N is set to "1" if UE support Bandwidth Combination Set N for this band combination as defined in the TS 38.101-1 [2], TS 38.101-2 [3] and TS 38.101-3 [4]. The leading / leftmost bit (bit 0) corresponds to the Bandwidth Combination Set 0, the next bit corresponds to the Bandwidth Combination Set 1 and so on. It is mandatory if the band combination has more than one NR carrier (at least one SCell in an NR cell group) or is an intra-band (NG)EN-DC combination or both. | BC | CY | N/A | N/A |
| ***supportedBandwidthCombinationSetIntraENDC***Defines the supported bandwidth combination for the band combination set as defined in the TS 38.101-3 [4]. For intra-band (NG)EN-DC with additional inter-band CA component(s) of LTE and/or NR, the field defines the bandwidth combinations for the intra-band (NG)EN-DC component. Field encoded as a bit map, where bit N is set to "1" if UE support Bandwidth Combination Set N for this band combination as defined in the TS 38.101-3 [4]. The leading / leftmost bit (bit 0) corresponds to the Bandwidth Combination Set 0, the next bit corresponds to the Bandwidth Combination Set 1 and so on. It is mandatory if the band combination is an intra-band (NG)EN-DC combination with additional inter-band NR/LTE CA component. | BC | CY | N/A | N/A |
| ***ULTxSwitchingBandPair-r16***Indicates UE supports dynamic UL Tx switching in case of inter-band CA, SUL, and (NG)EN-DC as defined in TS 38.214 [12], TS 38.101-1 [2] and TS 38.101-3 [4]. The capability signalling comprises of the following parameters:- *bandIndexUL1-r16* and *bandIndexUL2-r16* indicate the band pair on which UE supports dynamic UL Tx switching. *bandindexUL1*/*bandindexUL2* xx refers to the xxth band entry in the band combination. UE shall indicate support for 2-layer UL MIMO capabilities at least on one of the indicated two bands for UL Tx switching, and only the band where UE supports 2-layer UL MIMO capability can work as carrier2 as defined in TS 38.101-1 [2] and TS 38.101-3 [4].- *uplinkTxSwitchingPeriod-r16* indicates the length of UL Tx switching period per pair of UL bands per band combination when dynamic UL Tx switching is configured, as specified in TS 38.101-1 [2] and TS 38.101-3 [4]. UE shall not report the value n210us for EN-DC band combinations. n35us represents 35 us, n140us represents 140us, and so on, as specified in TS 38.101-1 [2] and TS 38.101-3 [4].- *uplinkTxSwitching-DL-Interruption-r16* indicates that DL interruption on the band will occur during UL Tx switching, as specified in TS 38.133 [5] and in TS 36.133 [27]. UE is not allowed to set this field for the band combination of SUL band+TDD band, for which no DL interruption is allowed.Field encoded as a bit map, where bit N is set to "1" if DL interruption on band N will occur during uplink Tx switching as specified in TS 38.133 [5] and in TS 36.133 [27]. The leading / leftmost bit (bit 0) corresponds to the first band of this band combination, the next bit corresponds to the second band of this band combination and so on. The capability is not applicable to the following band combinations, in which DL reception interruption is not allowed:- TDD+TDD CA with the same UL-DL pattern- TDD+TDD EN-DC with the same UL-DL pattern | BC | FD | N/A | FR1 only |
| ***uplinkTxSwitching-OptionSupport-r16***Indicates which option is supported for dynamic UL Tx switching for inter-band UL CA and (NG)EN-DC. *switchedUL* represents option 1 as specified in TS 38.214 [12], *dualUL* represents option 2 as specified in TS 38.214 [12], *both* represents both option 1 and option2 as specified in TS 38.214 [12]. UE shall not report the value *both* for (NG)EN-DC case. The field is mandatory for inter-band UL CA and (NG)EN-DC case where UE supports dynamic UL Tx switching. | BC | CY | N/A | FR1 only |
| ***uplinkTxSwitching-PowerBoosting-r16***Indicates the support of 3dB boosting on the maximum output power for UE transmission under the operation state in which 2-port transmission can be supported on carrier2 in case of inter-band UL CA case where UE supports dynamic UL Tx switching. A UE shall only indicate this capability in case the UE supports power class 3 for uplink inter-band CA for the band combination as defined in TS 38.101-1 [2]. | BC | No | N/A | FR1 only |

*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*unchanged part omitted\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\**

NEXT CHANGE

#### 4.2.7.11 Other PHY parameters

| Definitions for parameters | Per | M | FDD-TDDDIFF | FR1-FR2DIFF |
| --- | --- | --- | --- | --- |
| ***appliedFreqBandListFilter***Mirrors the *FreqBandList* that the NW provided in the capability enquiry, if any. The UE filtered the band combinations in the *supportedBandCombinationList* in accordance with this *appliedFreqBandListFilter*. | UE | No | No | No |
| ***downlinkSetEUTRA***Indicates the features that the UE supports on the DL carriers corresponding to one EUTRA band entry in a band combination by FeatureSetEUTRA-DownlinkId. The FeatureSetEUTRA-DownlinkId = 0 means that the UE does not support a EUTRA DL carrier in this band of a band combination. | Band | N/A | N/A | N/A |
| ***downlinkSetNR***Indicates the features that the UE supports on the DL carriers corresponding to one NR band entry in a band combination by FeatureSetDownlinkId. The FeatureSetDownlinkId = 0 means that the UE does not support a DL carrier in this band of a band combination. A fallback per band feature set resulting from the reported DL feature set that has fallback per CC feature set is not signalled but the UE shall support it. | Band | N/A | N/A | N/A |
| ***featureSetCombinations***Pools of feature sets that the UE supports on the NR or MR-DC band combinations. | UE | N/A | No | No |
| ***featureSets***Pools of downlink and uplink features sets as well as a pool of FeatureSetCombination elements. A FeatureSetCombination refers to the IDs of the feature set(s) that the UE supports in that FeatureSetCombination. The BandCombination entries in the BandCombinationList then indicate the ID of the FeatureSetCombination that the UE supports for that band combination. | UE | N/A | No | No |
| ***naics-Capability-List***Indicates that UE in MR-DC supports NAICS as defined in TS 36.331 [17]. | UE | No | No | No |
| ***receivedFilters***Contains all filters requested with UE-CapabilityRequestFilterNR from version 15.6.0 onwards. | UE | No | No | No |
| ***supportedBandCombinationList***Defines the supported NR and/or MR-DC band combinations by the UE. For each band combination the UE identifies the associated feature set combination by featureSetCombinations index referring to featureSetCombination. A fallback band combination resulting from the reported CA and MR-DC band combination is not signalled but the UE shall support it. For intra-band non-contiguous CA band combinations, the UE only includes one band combination, and exclude the others for which the presence of uplink CA bandwidth class in the band combination entry is different. One band combination entry can also indicate support of any other possible permutations in the presence of uplink CA bandwidth class where a paired downlink CA bandwidth class is the same or where the number of UL CCs is smaller than the one of paired DL CCs expressed by the CA bandwidth class, as specified in TS 36.306 [15]. For these band combinations not included in the capability, the supported feature set is the same as the ones for the band combination included in the UE capability. | UE | Yes | No | No |
| ***supportedBandCombinationListNEDC-Only***Defines the supported NE-DC only type of band combinations by the UE. | UE | No | No | No |
| ***supportedBandCombinationList-UplinkTxSwitch***Defines the NR inter-band UL CA, SUL and/or EN-DC band combinations where UE supports dynamic UL Tx switching. UE only includes this field if requested by the network. All fallback band combinations resulting from the reported band combination, which include at least one band pair supporting dynamic UL Tx switching as indicated in *ULTxSwitchingBandPair*, shall be supported by the UE. | UE | No | No | No |
| ***supportedBandListNR***Includes the supported NR bands as defined in TS 38.101-1 [2] and TS 38.101-2 [3]. | UE | Yes | No | No |
| ***uplinkSetEUTRA***Indicates the features that the UE supports on the UL carriers corresponding to one EUTRA band entry in a band combination by FeatureSetEUTRA-UplinkId. The FeatureSetUplinkId = 0 means that the UE does not support a UL carrier in this band of a band combination. | Band | N/A | N/A | N/A |
| ***uplinkSetNR***Indicates the features that the UE supports on the UL carriers corresponding to one NR band entry in a band combination by FeatureSetUplinkId. The FeatureSetUplinkId = 0 means that the UE does not support a UL carrier in this band of a band combination. A fallback per band feature set resulting from the reported UL feature set that has fallback per CC feature set is not signalled but the UE shall support it. | Band | N/A | N/A | N/A |

END OF CHANGES