**3GPP TSG RAN WG2 Meeting #111-e R2-200xxxx  
E-Conference, 17th – 28th August 2020**

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| *CR-Form-v11.4* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.306** | **CR** | **xxxx** | **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 | **X** | Core Network |  |

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| ***Title:*** | NR-DC UE capabilities | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Qualcomm Incorporated | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | LTE\_NR\_DC\_CA\_enh-Core | | | | |  | | ***Date:*** | | 2020-08-30 |
|  |  | | | |  | | |  | |  |
| ***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 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)* | |
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| ***Reason for change:*** | | Implement the following changes according to RAN2#111-e agreement.   * Introduce 1-bit async NR-DC UE capability. * The UE shall not report this UE capability from this release in field description of sfn-SyncNRDC. * The Rel-16 UE shall support Rel-15 cell grouping (i.e. MCG fully in FR1 and SCG fully in FR2). | | | | | | | | |
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| ***Summary of change:*** | | * Addition of 1-bit async NR-DC UE capability. * It is specified the UE shall not report this UE capability in field description of sfn-SyncNRDC. * It is specified a UE indicating support for NR-DC shall support configuration where all serving cells of the MCG are in FR1 and all serving cells of the SCG are in FR2.   **Impact Analysis**:  Impacted functionality:  NR dual connectivity  Inter-operability:   * If the UE is implemented according to the CR and the network is not, NR-DC configuration may fail because the network cannot correctly understand UE’s capability on sync NR-DC and async NR-DC. * If the network is implemented according to the CR and the UE is not, NR-DC configuration may fail because the network may assume the UE supports mandatory features for sync NR-DC (non-SFN-sync, cell grouping FR1-MCG + FR2-SCG), while the UE may not. | | | | | | | | |
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| ***Consequences if not approved:*** | | The network would not correctly understand UE’s capability on sync NR-DC and async NR-DC. | | | | | | | | |
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| ***Clauses affected:*** | | 4.2.7.1, 4.2.7.12 | | | | | | | | |
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|  | | **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:*** | |  | | | | | | | | |

#### 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. A UE indicating support for NR-DC shall support configuration where all serving cells of the MCG are in FR1 and all serving cells of the SCG are in FR2. | 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*.   |  |  | | --- | --- | | *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 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 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 EN-DC case. The field is mandatory for inter-band UL CA and EN-DC case where UE supports dynamic UL Tx switching. | BC | CY | N/A | FR1 only |

#### 4.2.7.12 *NRDC-Parameters*

| **Definitions for parameters** | **Per** | **M** | **FDD-TDD**  **DIFF** | **FR1-FR2**  **DIFF** |
| --- | --- | --- | --- | --- |
| ***asyncNRDC***  Indicates whether the UE supports asynchronous NR-DC with MRTD and MTTD as specified in clause 7.5 and 7.6 of TS 38.133 [5]. If the band combination is comprised of a single band entry for more than two carriers, the UE shall support any permutations of carriers to CGs. If the band combination is comprised of at least two band entries, the carriers corresponding to a band entry shall belong to only one cell group. | BC | FFS | No | No |
| ***intraFR-NR-DC-PwrSharingMode1-r16***  Indicates whether the UE supports intra-FR NR DC with semi-static power sharing mode1 as defined in TS 38.xxx[x]. If this field is absent, the UE does not support intra-FR NR DC. | BC | No | No | No |
| ***intraFR-NR-DC-PwrSharingMode2-r16***  Indicates whether the UE supports semi-static power sharing mode2 for synchronous intra-FR NR DC as defined in TS 38.xxx[x]. The UE indicating the support of this also indicates the support of *intraFR-NR-DC-PwrSharingMode1-r16.* | BC | No | No | No |
| ***intraFR-NR-DC-DynamicPwrSharing-r16***  Indicates the UE support of dynamic power sharing for intra-FR NR DC with long or short offset as specified in TS 38.xxx [x]. The UE indicating the support of this also indicates the support of *intraFR-NR-DC-PwrSharingMode1-r16.* | BC | No | No | No |
| ***sfn-SyncNRDC***  Indicates the UE supports NR-DC only with SFN and frame synchronization between PCell and PSCell. If not included by the UE supporting NR-DC, the UE supports NR-DC with slot-level synchronization without condition on SFN and frame synchronization. In this release of the specification, the UE shall not report this UE capability. | UE | No | No | No |