**3GPP TSG- Meeting #**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **38.331** | **CR** |  | **rev** | **-** | **Current version:** | **16.0.0** |  |
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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:***  | 38331CR for UE capability and RRC configuration of supporting UL Tx switching |
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| ***Source to WG:*** | China Telecom |
| ***Source to TSG:*** | R2  |
|  |  |
| ***Work item code:*** | NR\_RF\_FR1 |  | ***Date:*** | 2020-05-21 |
|  |  |  |  |  |
| ***Category:*** | **B** |  | ***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:*** | In RAN#85 meeting, the following objective was added in the revised WID of “RF requirements for NR frequency range 1”:* *Specify UE requirements to allow switching between case 1 and case 2 as below for two uplink carriers case inter-band EN-DC without SUL, inter-band UL CA and standalone SUL for UE supporting maximum two concurrent transmission*

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| *Case 1*  | *1 Tx on carrier 1 and 1 Tx on carrier 2* |
| *Case 2*  | *0 Tx on carrier 1 and 2 Tx on carrier 2*  |

In RAN4#93 meeting, it is agreed that UE capability to support Tx switching between two uplink carriers should be per pair of uplink bands per UL band combination.In RAN4#94e, the follow agreements on the length of UL switching period have been reached. • Length of UL switching period for defining UE RF requirements and capability reporting:– For SUL and UL CA• {35us, 140 us, 210us} – For EN-DC• {35us, 140 us}In RAN4#94e, the follow agreements on DL interruption have been reached. * The following duplex mode combinations (carrier 1 + carrier 2) do not require DL interruption:
	+ SUL+TDD
	+ TDD+TDD CA with the same UL-DL pattern
	+ TDD+TDD EN-DC with the same UL-DL pattern

In RAN4#94e-bis, the follow agreements on DL interruption related UE capability have been reached. * Introduce UE capability to indicate DL interruption is needed for duplex mode combinations except the above combinations agreed in RAN4#94e not requiring DL interruption
* UE capability is defined as per band per band combination for each band pair supporting UL Tx switching
* For the band where DL interruption is needed, the RRM interruption requirements defined in RAN4 shall be applied
* Whether to allow DL interruption for each band combination can be discussed later in RAN4 after the signaling for DL interruption is defined.

In RAN1 #100b-e, for uplink Tx switching the following agreements on inter-band UL CA have been reached:For inter-band UL CA, if UE reports via capability signaling to support uplink Tx switching, UE further reports via capability signaling which option (between Option 1 and Option 2) is supported.­        Option 1: If uplink Tx switching is configured, UE is not expected to be scheduled or configured with UL transmission on carrier 2 for case 1.

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|   | Number of **Tx chains** in WID (carrier 1 + carrier 2) | Number of **antenna ports** for UL transmission (carrier 1 + carrier 2) |
| Case 1 | 1T+1T | 1P+0P |
| Case 2 | 0T+2T | 0P+2P, 0P+1P  |

 ­        Option 2: If uplink Tx switching is configured, UE can be scheduled or configured with UL transmission on both carrier 1 and carrier 2 for case 1.o    UE can be scheduled or configured with UL transmission on either carrier 1 or carrier 2.o    UE can be scheduled or configured with UL transmission on both carrier 1 and carrier 2 simultaneously.

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|   | Number of **Tx chains** in WID (carrier 1 + carrier 2) | Number of **antenna ports** for UL transmission (carrier 1 + carrier 2) |
| Case 1 | 1T+1T | 1P+0P, 1P+1P, 0P+1P |
| Case 2 | 0T+2T | 0P+2P, 0P+1P |

RAN1/4 asks RAN2 to consider above UE capabilities and RRC signalling in the signalling structure for Tx switching between two uplink carriers. |
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| ***Summary of change:*** | 1. Introduce configuration of the two carriers supporting UL Tx switching and the location of UL Tx switching period.2. Introduce a new band combination list to indicate the UE capabilities of UL Tx switching.3. Introduce the UE capability of UL Tx switching period during UL Tx switching.4. Introduce the UE capability of DL interruption during UL Tx switching.5. Introduce the UE capability of supporting switchedUL(option 1 in RAN1) or dualUL(option2) in inter-band UL CA. |
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| ***Consequences if not approved:*** | The Tx switching between uplink carriers is not supported. |
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| ***Clauses affected:*** | 6.3.2, 6.3.3 |
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|  | **Y** | **N** |  |  |
| ***Other specs*** | **X** |  |  Other core specifications  | TS 38.306 CR ... |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
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| ***Other comments:*** |   |
|  |  |
| ***This CR's revision history:*** |  |

----------------------------------- [Changes Start] -----------------------------------

### 6.3.2 Radio resource control information elements

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Unchanged part omittd\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

– *ServingCellConfig*

The IE *ServingCellConfig* is used to configure (add or modify) the UE with a serving cell, which may be the SpCell or an SCell of an MCG or SCG. The parameters herein are mostly UE specific but partly also cell specific (e.g. in additionally configured bandwidth parts). Reconfiguration between a PUCCH and PUCCHless SCell is only supported using an SCell release and add.

***ServingCellConfig* information element**

-- ASN1START

-- TAG-SERVINGCELLCONFIG-START

ServingCellConfig ::= SEQUENCE {

 tdd-UL-DL-ConfigurationDedicated TDD-UL-DL-ConfigDedicated OPTIONAL, -- Cond TDD

 initialDownlinkBWP BWP-DownlinkDedicated OPTIONAL, -- Need M

 downlinkBWP-ToReleaseList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Id OPTIONAL, -- Need N

 downlinkBWP-ToAddModList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Downlink OPTIONAL, -- Need N

 firstActiveDownlinkBWP-Id BWP-Id OPTIONAL, -- Cond SyncAndCellAdd

 bwp-InactivityTimer ENUMERATED {ms2, ms3, ms4, ms5, ms6, ms8, ms10, ms20, ms30,

 ms40,ms50, ms60, ms80,ms100, ms200,ms300, ms500,

 ms750, ms1280, ms1920, ms2560, spare10, spare9, spare8,

 spare7, spare6, spare5, spare4, spare3, spare2, spare1 } OPTIONAL, --Need R

 defaultDownlinkBWP-Id BWP-Id OPTIONAL, -- Need S

 uplinkConfig UplinkConfig OPTIONAL, -- Need M

 supplementaryUplink UplinkConfig OPTIONAL, -- Need M

 pdcch-ServingCellConfig SetupRelease { PDCCH-ServingCellConfig } OPTIONAL, -- Need M

 pdsch-ServingCellConfig SetupRelease { PDSCH-ServingCellConfig } OPTIONAL, -- Need M

 csi-MeasConfig SetupRelease { CSI-MeasConfig } OPTIONAL, -- Need M

 sCellDeactivationTimer ENUMERATED {ms20, ms40, ms80, ms160, ms200, ms240,

 ms320, ms400, ms480, ms520, ms640, ms720,

 ms840, ms1280, spare2,spare1} OPTIONAL, -- Cond ServingCellWithoutPUCCH

 crossCarrierSchedulingConfig CrossCarrierSchedulingConfig OPTIONAL, -- Need M

 tag-Id TAG-Id,

 dummy ENUMERATED {enabled} OPTIONAL, -- Need R

 pathlossReferenceLinking ENUMERATED {spCell, sCell} OPTIONAL, -- Cond SCellOnly

 servingCellMO MeasObjectId OPTIONAL, -- Cond MeasObject

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 lte-CRS-ToMatchAround SetupRelease { RateMatchPatternLTE-CRS } OPTIONAL, -- Need M

 rateMatchPatternToAddModList SEQUENCE (SIZE (1..maxNrofRateMatchPatterns)) OF RateMatchPattern OPTIONAL, -- Need N

 rateMatchPatternToReleaseList SEQUENCE (SIZE (1..maxNrofRateMatchPatterns)) OF RateMatchPatternId OPTIONAL, -- Need N

 downlinkChannelBW-PerSCS-List SEQUENCE (SIZE (1..maxSCSs)) OF SCS-SpecificCarrier OPTIONAL -- Need S

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 supplementaryUplinkRelease ENUMERATED {true} OPTIONAL, -- Need N

 tdd-UL-DL-ConfigurationDedicated-iab-mt-v16xy TDD-UL-DL-ConfigDedicated-IAB-MT-v16xy OPTIONAL, -- Need FFS

 firstWithinActiveTimeBWP-Id-r16 BWP-Id OPTIONAL, -- Cond MultipleNonDormantBWP

 firstOutsideActiveTimeBWP-Id-r16 BWP-Id OPTIONAL, -- Cond MultipleNonDormantBWP-WUS

 ca-SlotOffset-r16 CHOICE {

 refSCS15kHz INTEGER (-2..2),

 refSCS30KHz INTEGER (-5..5),

 refSCS60KHz INTEGER (-10..10),

 refSCS120KHz INTEGER (-20..20)

 } OPTIONAL, -- Cond AsyncCA

 channelAccessConfig-r16 ChannelAccessConfig-r16 OPTIONAL -- Need M

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}

UplinkConfig ::= SEQUENCE {

 initialUplinkBWP BWP-UplinkDedicated OPTIONAL, -- Need M

 uplinkBWP-ToReleaseList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Id OPTIONAL, -- Need N

 uplinkBWP-ToAddModList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Uplink OPTIONAL, -- Need N

 firstActiveUplinkBWP-Id BWP-Id OPTIONAL, -- Cond SyncAndCellAdd

 pusch-ServingCellConfig SetupRelease { PUSCH-ServingCellConfig } OPTIONAL, -- Need M

 carrierSwitching SetupRelease { SRS-CarrierSwitching } OPTIONAL, -- Need M

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 powerBoostPi2BPSK BOOLEAN OPTIONAL, -- Need M

 uplinkChannelBW-PerSCS-List SEQUENCE (SIZE (1..maxSCSs)) OF SCS-SpecificCarrier OPTIONAL -- Need S

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 bdFactorR-r16 ENUMERATED {n1} OPTIONAL, -- Need R

 lte-CRS-PatternList-r16 SetupRelease { LTE-CRS-PatternList-r16 } OPTIONAL, -- Cond LTE-CRS

 lte-CRS-PatternListSecond-r16 SetupRelease { LTE-CRS-PatternList-r16 } OPTIONAL, -- Cond CORESETPool

 enablePLRS-UpdateForPUSCH-SRS ENUMERATED {enabled} OPTIONAL, -- Need R

 enableDefaultBeamPL-ForPUSCH0 ENUMERATED {enabled} OPTIONAL, -- Need R

 enableDefaultBeamPL-ForPUCCH ENUMERATED {enabled} OPTIONAL, -- Need R

 enableDefaultBeamPL-ForSRS ENUMERATED {enabled} OPTIONAL -- Need R

uplinkTxSwitching-r16 SetupRelease { UplinkTxSwitching-r16 } OPTIONAL -- Need M

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}

ChannelAccessConfig-r16 ::= SEQUENCE {

 maxEnergyDetectionThreshold-r16 INTEGER(-85..-52),

 energyDetectionThresholdOffset-r16 INTEGER (-20..-13),

 ul-toDL-COT-SharingED-Threshold-r16 INTEGER (-85..-52) OPTIONAL, -- Need R

 absenceOfAnyOtherTechnology-r16 ENUMERATED {true} OPTIONAL -- Need R

}

UplinkTxSwitching-r16 ::= SEQUENCE {

 uplinkTxSwitchingPeriodLocation-r16 BOOLEAN,

 uplinkTxSwitchingCarrier-r16 ENUMERATED {carrier1, carrier2}

}

-- TAG-SERVINGCELLCONFIG-STOP

-- ASN1STOP

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| ***ServingCellConfig* field descriptions** |
| ***absenceOfAnyOtherTechnology***Presence of this field indicates absence on a long term basis (e.g. by level of regulation) of any other technology sharing the carrier; absence of this field indicates the potential presence of any other technology sharing the carrier, as specified in TS 37.213 [48} clause Y. |
| ***bdFactorR***Parameter for determining and distributing the maximum numbers of BD/CCE for mPDCCH based mPDSCH transmission as specified in TS 38.213 [13] Clause 10.1. |
| ***bwp-InactivityTimer***The duration in ms after which the UE falls back to the default Bandwidth Part (see TS 38.321 [3], clause 5.15). When the network releases the timer configuration, the UE stops the timer without switching to the default BWP. |
| ***ca-SlotOffset***Slot offset between the primary cell (PCell/PSCell) and the SCell in unaligned frame boundary with slot alignment and partial SFN alignment inter-band CA. Based on this field, the UE determines the time offset of the SCell as specified in clause 4.5 of TS 38.211 [16]. The granularity of this field is determined by the reference SCS for the slot offset (i.e. the maximum of PCell/PSCell lowest SCS among all the configured SCSs in DL/UL *SCS-SpecificCarrierList* in *ServingCellConfig* and this serving cell's lowest SCS among all the configured SCSs in DL/UL *SCS-SpecificCarrierList* in *ServingCellConfig*).The Network configures at most single non-zero offset duration in ms (independent on SCS) among CCs in the unaligned CA configuration. If the field is absent, the UE applies the value of 0. |
| ***channelAccessConfig***List of parameters used for access procedures of operation with shared spectrum channel access (see TS 37.213 [48). |
| ***crossCarrierSchedulingConfig***Indicates whether this serving cell is cross-carrier scheduled by another serving cell or whether it cross-carrier schedules another serving cell. |
| ***defaultDownlinkBWP-Id***The initial bandwidth part is referred to by BWP-Id = 0. ID of the downlink bandwidth part to be used upon expiry of the BWP inactivity timer. This field is UE specific. When the field is absent the UE uses the initial BWP as default BWP. (see TS 38.213 [13], clause 12 and TS 38.321 [3], clause 5.15). |
| ***downlinkBWP-ToAddModList***List of additional downlink bandwidth parts to be added or modified. (see TS 38.213 [13], clause 12). |
| ***downlinkBWP-ToReleaseList***List of additional downlink bandwidth parts to be released. (see TS 38.213 [13], clause 12). |
| ***downlinkChannelBW-PerSCS-List***A set of UE specific channel bandwidth and location configurations for different subcarrier spacings (numerologies). Defined in relation to Point A. The UE uses the configuration provided in this field only for the purpose of channel bandwidth and location determination. If absent, UE uses the configuration indicated in *scs-SpecificCarrierList* in *DownlinkConfigCommon* / *DownlinkConfigCommonSIB*. Network only configures channel bandwidth that corresponds to the channel bandwidth values defined in TS 38.101-1 [15] and TS 38.101-2 [39]. |
| ***energyDetectionThresholdOffset***Indicates the offset to the default maximum energy detection threshold value. Unit in dB. Value -13 corresponds to -13dB, value -12 corresponds to -12dB, and so on (i.e. in steps of 1dB) as specified in TS 37.213 [48]. |
| ***firstActiveDownlinkBWP-Id***If configured for an SpCell, this field contains the ID of the DL BWP to be activated upon performing the RRC (re-)configuration. If the field is absent, the RRC (re-)configuration does not impose a BWP switch.If configured for an SCell, this field contains the ID of the downlink bandwidth part to be used upon MAC-activation of an SCell. The initial bandwidth part is referred to by BWP-Id = 0.Upon PCell change and PSCell addition/change, the network sets the *firstActiveDownlinkBWP-Id* and *firstActiveUplinkBWP-Id* to the same value. |
| ***initialDownlinkBWP***The dedicated (UE-specific) configuration for the initial downlink bandwidth-part (i.e. DL BWP#0). If any of the optional IEs are configured within this IE, the UE considers the BWP#0 to be an RRC configured BWP (from UE capability viewpoint). Otherwise, the UE does not consider the BWP#0 as an RRC configured BWP (from UE capability viewpoint). Network always configures the UE with a value for this field if no other BWPs are configured. NOTE1 |
| ***lte-CRS-PatternList*** A list of LTE CRS patterns around which the UE shall do rate matching for PDSCH. The LTE CRS patterns in this list shall be non-overlapping in frequency. |
| ***lte-CRS-PatternListSecond***A list of LTE CRS patterns around which the UE shall do rate matching for PDSCH scheduled with a DCI detected on a CORESET with CORESETPoolIndex configured with 1. This list is configured only if CORESETPoolIndex configured with 1. The first LTE CRS pattern in this list shall be fully overlapping in frequency with the first LTE CRS pattern in lte-CRS-PatternList, The second LTE CRS pattern in this list shall be fully overlapping in frequency with the second LTE CRS pattern in lte-CRS-PatternList, and so on. |
| ***lte-CRS-ToMatchAround***Parameters to determine an LTE CRS pattern that the UE shall rate match around. |
| ***maxEnergyDetectionThreshold***Indicates the absolute maximum energy detection threshold value. Unit in dBm. Value -85 corresponds to -85 dBm, value -84 corresponds to -84 dBm, and so on (i.e. in steps of 1dBm) as specified in TS 37.213 [48]. If the field is not configured, the UE shall use a default maximum energy detection threshold value as specified in TS 37.213 [48]. |
| ***pathlossReferenceLinking***Indicates whether UE shall apply as pathloss reference either the downlink of SpCell (PCell for MCG or PSCell for SCG) or of SCell that corresponds with this uplink (see TS 38.213 [13], clause 7). |
| ***pdsch-ServingCellConfig***PDSCH related parameters that are not BWP-specific. |
| ***rateMatchPatternToAddModList***Resources patterns which the UE should rate match PDSCH around. The UE rate matches around the union of all resources indicated in the rate match patterns. Rate match patterns defined here on cell level apply only to PDSCH of the same numerology. See TS 38.214 [19], clause 5.1.2.2.3. |
| ***sCellDeactivationTimer***SCell deactivation timer in TS 38.321 [3]. If the field is absent, the UE applies the value infinity. |
| ***servingCellMO****measObjectId* of the *MeasObjectNR* in *MeasConfig* which is associated to the serving cell. For this *MeasObjectNR*, the following relationship applies between this MeasObjectNR and *frequencyInfoDL* in *ServingCellConfigCommon* of the serving cell: if *ssbFrequency* is configured, its value is the same as the *absoluteFrequencySSB* and if *csi-rs-ResourceConfigMobility* is configured, the value of its *subcarrierSpacing* is present in one entry of the *scs-SpecificCarrierList*, *csi-RS-CellListMobility* includes an entry corresponding to the serving cell (with *cellId* equal to *physCellId* in *ServingCellConfigCommon*) and the frequency range indicated by the *csi-rs-MeasurementBW* of the entry in *csi-RS-CellListMobility* is included in the frequency range indicated by in the entry of the *scs-SpecificCarrierList*.  |
| ***supplementaryUplink***Network may configure this field only when *supplementaryUplinkConfig* is configured in *ServingCellConfigCommon* or *ServingCellConfigCommonSIB*. |
| ***supplementaryUplinkRelease***If this field is included, the UE shall release the uplink configuration configured by *supplementaryUplink*. The network only includes either *supplementaryUplinkRelease* or *supplementaryUplink* at a time. |
| ***tag-Id***Timing Advance Group ID, as specified in TS 38.321 [3], which this cell belongs to. |
| ***tdd-UL-DL-ConfigurationDedicated-iab-mt*** ***v16xy***Resource configuration per IAB-MT D/U/F overrides all symbols (with a limitation that effectively only flexible symbols can be overwritten in Rel-16) per slot over the number of slots as provided by *TDD-UL-DL ConfigurationCommon*. |
| ***ul-toDL-COT-SharingED-Threshold***Maximum energy detection threshold that the UE should use to share channel occupancy with gNB for DL transmission with length no longer than 2, 4, and 8 OFDM symbols for 15Khz, 30Khz, 60KHz SCS respectively, as specified in TS 37.213 [48]. |
| ***uplinkConfig***Network may configure this field only when *uplinkConfigCommon* is configured in *ServingCellConfigCommon* or *ServingCellConfigCommonSIB*. |

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| ***UplinkConfig* field descriptions** |
| ***carrierSwitching***Includes parameters for configuration of carrier based SRS switching (see TS 38.214 [19], clause 6.2.1.3. |
| ***enableDefaultBeamPlForPUSCH0\_0, enableDefaultBeamPlForPUCCH, enableDefaultBeamPlForSRS***When the parameter is present, UE derives the spatial relation and the corresponding pathloss reference Rs as specified in 38.213, clauses 7.1.1, 7.2.1, 7.3.1 and 9.2.2The network only configures these parameters for FR2. |
| ***enablePLRSupdateForPUSCHSRS***When this parameter is present, the Rel-16 feature of MAC CE based pathloss RS updates for PUSCH/SRS is enabled. Network only configures this parameter , when the UE is configured with *sri-PUSCH-PowerControl*. |
| ***firstActiveUplinkBWP-Id***If configured for an SpCell, this field contains the ID of the UL BWP to be activated upon performing the RRC (re-)configuration. If the field is absent, the RRC (re-)configuration does not impose a BWP switch.If configured for an SCell, this field contains the ID of the uplink bandwidth part to be used upon MAC-activation of an SCell. The initial bandwidth part is referred to by BandiwdthPartId = 0. |
| ***initialUplinkBWP***The dedicated (UE-specific) configuration for the initial uplink bandwidth-part (i.e. UL BWP#0). If any of the optional IEs are configured within this IE as part of the IE *uplinkConfig*, the UE considers the BWP#0 to be an RRC configured BWP (from UE capability viewpoint). Otherwise, the UE does not consider the BWP#0 as an RRC configured BWP (from UE capability viewpoint). Network always configures the UE with a value for this field if no other BWPs are configured. NOTE1 |
| ***powerBoostPi2BPSK***If this field is set to *true*, the UE determines the maximum output power for PUCCH/PUSCH transmissions that use pi/2 BPSK modulation according to TS 38.101-1 [15], clause 6.2.4. |
| ***pusch-ServingCellConfig***PUSCH related parameters that are not BWP-specific. |
| ***uplinkBWP-ToAddModList***The additional bandwidth parts for uplink to be added or modified. In case of TDD uplink- and downlink BWP with the same *bandwidthPartId* are considered as a BWP pair and must have the same center frequency. |
| ***uplinkBWP-ToReleaseList***The additional bandwidth parts for uplink to be released. |
| ***uplinkChannelBW-PerSCS-List***A set of UE specific channel bandwidth and location configurations for different subcarrier spacings (numerologies). Defined in relation to Point A. The UE uses the configuration provided in this field only for the purpose of channel bandwidth and location determination. If absent, UE uses the configuration indicated in *scs-SpecificCarrierList* in *UplinkConfigCommon* / *UplinkConfigCommonSIB*. Network only configures channel bandwidth that corresponds to the channel bandwidth values defined in TS 38.101-1 [15] and TS 38.101-2 [39]. |
| ***uplinkTxSwitchingPeriodLocation***Indicates whether the location of uplink Tx switching period is configured in this uplink carrier in case of inter-band UL CA, SUL, or EN-DC, as specified in TS 38.101-1 [15] and TS 38.101-3 [34]. Network always configures this field to TRUE for only one of the uplink carriers involved in UL TX switching. In case of UL Tx switching in EN-DC, network always configures this field to TRUE (i.e. with EN-DC, the UL switching period always occurs on the NR carrier). |
| ***uplinkTxSwitchingCarrier***Indicates that the configured carrier is carrier1 or carrier2 for uplink Tx switching, as defined in TS 38.101-1 [15] and TS 38.101-3 [34]. Network configures one of the two uplink carriers involved in UL TX switching as carrier1 and the other as carrier2. |

NOTE 1: If the dedicated part of initial UL/DL BWP configuration is absent, the initial BWP can be used but with some limitations. For example, changing to another BWP requires *RRCReconfiguration* since DCI format 1\_0 doesn't support DCI-based switching.

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| **Conditional Presence** | **Explanation** |
| *AsyncCA* | This field is mandatory present for SCells whose slot offset between the SpCell is not 0. Otherwise it is absent, Need S. |
| *CORESETPool* | This field is optionally present, Need M, if the field *lte-CRS-ToMatchAround* is not configured and CORESETPoolIndex configured with 1. It is absent otherwise. |
| *LTE-CRS* | This field is optionally present, Need M, if the field *lte-CRS-ToMatchAround* is not configured. It is absent otherwise. |
| *MeasObject* | This field is mandatory present for the SpCell if the UE has a *measConfig*, and it is optionally present, Need M, for SCells. |
| *MultipleNonDormantBWP* | The field is mandatory present when the SCell is configured with more than one *BWP-DownlinkDedicated* with *pdcch-Config* present, otherwise it is absent. |
| *MultipleNonDormantBWP-WUS* | The field is mandatory present when the SCell is configured with WUS and with more than one *BWP-DownlinkDedicated* with *pdcch-Config* present, otherwise it is absent. |
| *SCellOnly* | This field is optionally present, Need R, for SCells. It is absent otherwise.  |
| *ServingCellWithoutPUCCH* | This field is optionally present, Need S, for SCells except PUCCH SCells. It is absent otherwise. |
| *SyncAndCellAdd* | This field is mandatory present for a SpCell upon PCell change and PSCell addition/change and upon *RRCSetup*/*RRCResume*.The field is mandatory present for an SCell upon addition.For SpCell, the field is optionally present, Need N, upon reconfiguration without *reconfigurationWithSync*.In all other cases the field is absent. |
| *TDD* | This field is optionally present, Need R, for TDD cells. It is absent otherwise. |

----------------------------------- [Next Change] -----------------------------------

### 6.3.3 UE capability information elements

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Unchanged part omittd\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

– *BandCombinationList*

The IE *BandCombinationList* contains a list of NR CA and/or MR-DC band combinations (also including DL only or UL only band).

***BandCombinationList* information element**

-- ASN1START

-- TAG-BANDCOMBINATIONLIST-START

BandCombinationList ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination

BandCombinationList-v1540 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1540

BandCombinationList-v1550 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1550

BandCombinationList-v1560 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1560

BandCombinationList-v1570 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1570

BandCombinationList-v1580 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1580

BandCombinationList-v1590 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v1590

BandCombinationList-v16xy ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-v16xy

BandCombinationList-UplinkTxSwitch-r16 ::= SEQUENCE (SIZE (1..maxBandComb)) OF BandCombination-UplinkTxSwitch-r16

BandCombination ::= SEQUENCE {

 bandList SEQUENCE (SIZE (1..maxSimultaneousBands)) OF BandParameters,

 featureSetCombination FeatureSetCombinationId,

 ca-ParametersEUTRA CA-ParametersEUTRA OPTIONAL,

 ca-ParametersNR CA-ParametersNR OPTIONAL,

 mrdc-Parameters MRDC-Parameters OPTIONAL,

 supportedBandwidthCombinationSet BIT STRING (SIZE (1..32)) OPTIONAL,

 powerClass-v1530 ENUMERATED {pc2} OPTIONAL

}

BandCombination-v1540::= SEQUENCE {

 bandList-v1540 SEQUENCE (SIZE (1..maxSimultaneousBands)) OF BandParameters-v1540,

 ca-ParametersNR-v1540 CA-ParametersNR-v1540 OPTIONAL

}

BandCombination-v1550 ::= SEQUENCE {

 ca-ParametersNR-v1550 CA-ParametersNR-v1550

}

BandCombination-v16xy ::= SEQUENCE {

 bandList-v16xy SEQUENCE (SIZE (1..maxSimultaneousBands)) OF BandParameters-v16xy

}

BandCombination-v1560::= SEQUENCE {

 ne-DC-BC ENUMERATED {supported} OPTIONAL,

 ca-ParametersNRDC CA-ParametersNRDC OPTIONAL,

 ca-ParametersEUTRA-v1560 CA-ParametersEUTRA-v1560 OPTIONAL,

 ca-ParametersNR-v1560 CA-ParametersNR-v1560 OPTIONAL

}

BandCombination-v1570 ::= SEQUENCE {

 ca-ParametersEUTRA-v1570 CA-ParametersEUTRA-v1570

}

BandCombination-v1580 ::= SEQUENCE {

 mrdc-Parameters-v1580 MRDC-Parameters-v1580

}

BandCombination-v1590::= SEQUENCE {

 supportedBandwidthCombinationSetIntraENDC BIT STRING (SIZE (1..32)) OPTIONAL,

 mrdc-Parameters-v1590 MRDC-Parameters-v1590

}

BandCombination-UplinkTxSwitch-r16 ::= SEQUENCE {

bandCombinationInfo-r16 BandCombination,

 bandCombination-v1540 BandCombination-v1540 OPTIONAL,

 bandCombination-v1560 BandCombination-v1560 OPTIONAL,

 bandCombination-v1570 BandCombination-v1570 OPTIONAL,

 bandCombination-v1580 BandCombination-v1580 OPTIONAL,

 bandCombination-v1590 BandCombination-v1590 OPTIONAL,

 bandCombination-v16xy BandCombination-v16xy OPTIONAL,

 supportedBandPairListNR-r16 SEQUENCE {SIZE (1..maxFFS)) OF ULTxSwitchingCarrierPair-r16,

 uplinkTxSwitching-ulCASupport-r16 ENUMERATED {switchedUL, dualUL}

 ...

}

ULTxSwitchingCarrierPair-r16 ::= SEQUENCE {

 bandIndexUL1-r16 INTEGER(1..maxSimultaneousBands),

 bandIndexUL2-r16 INTEGER(1..maxSimultaneousBands),

 uplinkTxSwitchingPeriod-r16 ENUMERATED {n35us, n140us, n210us},

 uplinkTxSwitching-DL-Interruption-r16 BIT STRING {SIZE(2..maxSimultaneousBands)} OPTIONAL,

}

BandParameters ::= CHOICE {

 eutra SEQUENCE {

 bandEUTRA FreqBandIndicatorEUTRA,

 ca-BandwidthClassDL-EUTRA CA-BandwidthClassEUTRA OPTIONAL,

 ca-BandwidthClassUL-EUTRA CA-BandwidthClassEUTRA OPTIONAL

 },

 nr SEQUENCE {

 bandNR FreqBandIndicatorNR,

 ca-BandwidthClassDL-NR CA-BandwidthClassNR OPTIONAL,

 ca-BandwidthClassUL-NR CA-BandwidthClassNR OPTIONAL

 }

}

BandParameters-v1540 ::= SEQUENCE {

 srs-CarrierSwitch CHOICE {

 nr SEQUENCE {

 srs-SwitchingTimesListNR SEQUENCE (SIZE (1..maxSimultaneousBands)) OF SRS-SwitchingTimeNR

 },

 eutra SEQUENCE {

 srs-SwitchingTimesListEUTRA SEQUENCE (SIZE (1..maxSimultaneousBands)) OF SRS-SwitchingTimeEUTRA

 }

 } OPTIONAL,

 srs-TxSwitch SEQUENCE {

 supportedSRS-TxPortSwitch ENUMERATED {t1r2, t1r4, t2r4, t1r4-t2r4, t1r1, t2r2, t4r4, notSupported},

 txSwitchImpactToRx INTEGER (1..32) OPTIONAL,

 txSwitchWithAnotherBand INTEGER (1..32) OPTIONAL

 } OPTIONAL

}

BandParameters-v16xy ::= SEQUENCE {

 srs-TxSwitch SEQUENCE {

 supportedSRS-TxPortSwitch-r16 ENUMERATED {t1r1-t1r2, t1r1-t1r2-t1r4, t1r1-t1r2-t2r2-t2r4, t1r1-t1r2-t2r2-t1r4-t2r4,

 t1r1-t2r2, t1r1-t2r2-t4r4}

} OPTIONAL

}

-- TAG-BANDCOMBINATIONLIST-STOP

-- ASN1STOP

|  |
| --- |
| ***BandCombination* field descriptions** |
| ***BandCombinationList-v1540, BandCombinationList-v1550, BandCombinationList-v1560, BandCombinationList-v1570, BandCombinationList-v1580, BandCombinationList-v1590, BandCombinationList-r16***The UE shall include the same number of entries, and listed in the same order, as in *BandCombinationList* (without suffix). |
| ***ca-ParametersNRDC***If the field is included for a band combination in the NR capability container, the field indicates support of NR-DC. Otherwise, the field is absent. |
| ***ne-DC-BC***If the field is included for a band combination in the MR-DC capability container, the field indicates support of NE-DC. Otherwise, the field is absent. |
| ***srs-SwitchingTimesListNR***Indicates, for a particular pair of NR bands, the RF retuning time when switching between a NR carrier corresponding to this band entry and another (PUSCH-less) NR carrier corresponding to the band entry in the order indicated below:- For the first NR band, the UE shall include the same number of entries for NR bands as in *bandList*, i.e. first entry corresponds to first NR band in *bandList* and so on,- For the second NR band, the UE shall include one entry less, i.e. first entry corresponds to the second NR band in *bandList* and so on- And so on |
| ***srs-SwitchingTimesListEUTRA***Indicates, for a particular pair of E-UTRA bands, the RF retuning time when switching between an E-UTRA carrier corresponding to this band entry and another (PUSCH-less) E-UTRA carrier corresponding to the band entry in the order indicated below:- For the first E-UTRA band, the UE shall include the same number of entries for E-UTRA bands as in *bandList,* i.e. first entry corresponds to first E-UTRA band in *bandList* and so on,- For the second E-UTRA band, the UE shall include one entry less, i.e. first entry corresponds to the second E-UTRA band in *bandList* and so on - And so on |

----------------------------------- [Next Change] -----------------------------------

– *RF-Parameters*

The IE *RF-Parameters* is used to convey RF-related capabilities for NR operation.

***RF-Parameters* information element**

-- ASN1START

-- TAG-RF-PARAMETERS-START

RF-Parameters ::= SEQUENCE {

 supportedBandListNR SEQUENCE (SIZE (1..maxBands)) OF BandNR,

 supportedBandCombinationList BandCombinationList OPTIONAL,

 appliedFreqBandListFilter FreqBandList OPTIONAL,

 ...,

 [[

 supportedBandCombinationList-v1540 BandCombinationList-v1540 OPTIONAL,

 srs-SwitchingTimeRequested ENUMERATED {true} OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1550 BandCombinationList-v1550 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1560 BandCombinationList-v1560 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v16xy BandCombinationList-v16xy OPTIONAL

 ]] ,

[[

uplinkTxSwitchRequested-r16 ENUMERATED {true} OPTIONAL

supportedBandCombinationList-UplinkTxSwitch-r16 BandCombinationList-UplinkTxSwitch-r16 OPTIONAL

 ]]

}

BandNR ::= SEQUENCE {

 bandNR FreqBandIndicatorNR,

 modifiedMPR-Behaviour BIT STRING (SIZE (8)) OPTIONAL,

 mimo-ParametersPerBand MIMO-ParametersPerBand OPTIONAL,

 extendedCP ENUMERATED {supported} OPTIONAL,

 multipleTCI ENUMERATED {supported} OPTIONAL,

 bwp-WithoutRestriction ENUMERATED {supported} OPTIONAL,

 bwp-SameNumerology ENUMERATED {upto2, upto4} OPTIONAL,

 bwp-DiffNumerology ENUMERATED {upto4} OPTIONAL,

 crossCarrierScheduling-SameSCS ENUMERATED {supported} OPTIONAL,

 pdsch-256QAM-FR2 ENUMERATED {supported} OPTIONAL,

 pusch-256QAM ENUMERATED {supported} OPTIONAL,

 ue-PowerClass ENUMERATED {pc1, pc2, pc3, pc4} OPTIONAL,

 rateMatchingLTE-CRS ENUMERATED {supported} OPTIONAL,

 channelBWs-DL CHOICE {

 fr1 SEQUENCE {

 scs-15kHz BIT STRING (SIZE (10)) OPTIONAL,

 scs-30kHz BIT STRING (SIZE (10)) OPTIONAL,

 scs-60kHz BIT STRING (SIZE (10)) OPTIONAL

 },

 fr2 SEQUENCE {

 scs-60kHz BIT STRING (SIZE (3)) OPTIONAL,

 scs-120kHz BIT STRING (SIZE (3)) OPTIONAL

 }

 } OPTIONAL,

 channelBWs-UL CHOICE {

 fr1 SEQUENCE {

 scs-15kHz BIT STRING (SIZE (10)) OPTIONAL,

 scs-30kHz BIT STRING (SIZE (10)) OPTIONAL,

 scs-60kHz BIT STRING (SIZE (10)) OPTIONAL

 },

 fr2 SEQUENCE {

 scs-60kHz BIT STRING (SIZE (3)) OPTIONAL,

 scs-120kHz BIT STRING (SIZE (3)) OPTIONAL

 }

 } OPTIONAL,

 ...,

 [[

 maxUplinkDutyCycle-PC2-FR1 ENUMERATED {n60, n70, n80, n90, n100} OPTIONAL

 ]],

 [[

 pucch-SpatialRelInfoMAC-CE ENUMERATED {supported} OPTIONAL,

 powerBoosting-pi2BPSK ENUMERATED {supported} OPTIONAL

 ]],

 [[

 maxUplinkDutyCycle-FR2 ENUMERATED {n15, n20, n25, n30, n40, n50, n60, n70, n80, n90, n100} OPTIONAL

 ]],

 [[

 channelBWs-DL-v1590 CHOICE {

 fr1 SEQUENCE {

 scs-15kHz BIT STRING (SIZE (16)) OPTIONAL,

 scs-30kHz BIT STRING (SIZE (16)) OPTIONAL,

 scs-60kHz BIT STRING (SIZE (16)) OPTIONAL

 },

 fr2 SEQUENCE {

 scs-60kHz BIT STRING (SIZE (8)) OPTIONAL,

 scs-120kHz BIT STRING (SIZE (8)) OPTIONAL

 }

 } OPTIONAL,

 channelBWs-UL-v1590 CHOICE {

 fr1 SEQUENCE {

 scs-15kHz BIT STRING (SIZE (16)) OPTIONAL,

 scs-30kHz BIT STRING (SIZE (16)) OPTIONAL,

 scs-60kHz BIT STRING (SIZE (16)) OPTIONAL

 },

 fr2 SEQUENCE {

 scs-60kHz BIT STRING (SIZE (8)) OPTIONAL,

 scs-120kHz BIT STRING (SIZE (8)) OPTIONAL

 }

 } OPTIONAL

 ]]

}

-- TAG-RF-PARAMETERS-STOP

-- ASN1STOP

|  |
| --- |
| ***RF-Parameters* field descriptions** |
| ***appliedFreqBandListFilter***In this field the UE 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*. The UE does not include this field if the UE capability is requested by E-UTRAN and the network request includes the field *eutra-nr-only* [10]. |
| ***supportedBandCombinationList***A list of band combinations that the UE supports for NR (and NR-DC, if requested). The *FeatureSetCombinationId*:s in this list refer to the *FeatureSetCombination* entries in the *featureSetCombinations* list in the *UE-NR-Capability* IE. The UE does not include this field if the UE capability is requested by E-UTRAN and the network request includes the field *eutra-nr-only* [10]. |
| ***supportedBandCombinationList-UplinkTxSwitch***A list of band combinations that the UE supports uplink Tx switching for NR UL CA and SUL. The *FeatureSetCombinationId*:s in this list refer to the *FeatureSetCombination* entries in the *featureSetCombinations* list in the *UE-NR-Capability* IE. The UE does not include this field if the UE capability is requested by E-UTRAN and the network request includes the field *eutra-nr-only* [10]. |

– *RF-ParametersMRDC*

The IE *RF-ParametersMRDC* is used to convey RF related capabilities for MR-DC.

***RF-ParametersMRDC* information element**

-- ASN1START

-- TAG-RF-PARAMETERSMRDC-START

RF-ParametersMRDC ::= SEQUENCE {

 supportedBandCombinationList BandCombinationList OPTIONAL,

 appliedFreqBandListFilter FreqBandList OPTIONAL,

 ...,

 [[

 srs-SwitchingTimeRequested ENUMERATED {true} OPTIONAL,

 supportedBandCombinationList-v1540 BandCombinationList-v1540 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1550 BandCombinationList-v1550 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1560 BandCombinationList-v1560 OPTIONAL,

 supportedBandCombinationListNEDC-Only BandCombinationList OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1570 BandCombinationList-v1570 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1580 BandCombinationList-v1580 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v1590 BandCombinationList-v1590 OPTIONAL

 ]],

 [[

 supportedBandCombinationList-v16xy BandCombinationList-v16xy OPTIONAL

 ]] ,

 [[

uplinkTxSwitchRequested-r16 ENUMERATED {true} OPTIONAL,

 supportedBandCombinationList-UplinkTxSwitch-r16 BandCombinationList-UplinkTxSwitch-r16 OPTIONAL

 ]]

}

-- TAG-RF-PARAMETERSMRDC-STOP

-- ASN1STOP

|  |
| --- |
| ***RF-ParametersMRDC* field descriptions** |
| ***appliedFreqBandListFilter***In this field the UE 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*. |
| ***supportedBandCombinationList***A list of band combinations that the UE supports for (NG)EN-DC and/or NE-DC. The *FeatureSetCombinationId*:s in this list refer to the *FeatureSetCombination* entries in the *featureSetCombinations* list in the *UE-MRDC-Capability* IE. |
| ***supportedBandCombinationListNEDC-Only***A list of band combinations that the UE supports only for NE-DC. The *FeatureSetCombinationId*:s in this list refer to the *FeatureSetCombination* entries in the *featureSetCombinations* list in the *UE-MRDC-Capability* IE. |
| ***supportedBandCombinationList-UplinkTxSwitch***A list of band combinations that the UE supports uplink Tx switching for EN-DC. The *FeatureSetCombinationId*:s in this list refer to the *FeatureSetCombination* entries in the *featureSetCombinations* list in the *UE-MRDC-Capability* IE. |

----------------------------------- [Next Change] -----------------------------------

– *UE-CapabilityRequestFilterCommon*

The IE *UE-CapabilityRequestFilterCommon* is used to request filtered UE capabilities. The filter is common for all capability containers that are requested.

***UE-CapabilityRequestFilterCommon* information element**

-- ASN1START

-- TAG-UE-CAPABILITYREQUESTFILTERCOMMON-START

UE-CapabilityRequestFilterCommon ::= SEQUENCE {

 mrdc-Request SEQUENCE {

 omitEN-DC ENUMERATED {true} OPTIONAL, -- Need N

 includeNR-DC ENUMERATED {true} OPTIONAL, -- Need N

 includeNE-DC ENUMERATED {true} OPTIONAL -- Need N

 } OPTIONAL, -- Need N

 ...

}

-- TAG-UE-CAPABILITYREQUESTFILTERCOMMON-STOP

-- ASN1STOP

|  |
| --- |
| ***UE-CapabilityRequestFilterCommon field descriptions*** |
| ***includeNE-DC***Only if this field is present, the UE supporting NE-DC shall indicate support for NE-DC in band combinations and include feature set combinations which are applicable to NE-DC. Band combinations supporting both NE-DC and (NG)EN-DC shall be included in *supportedBandCombinationList*, band combinations supporting only NE-DC shall be included in *supportedBandCombinationListNEDC-Only*. |
| ***includeNR-DC***Only if this field is present, the UE supporting NR-DC shall indicate support for NR-DC in band combinations and include feature set combinations which are applicable to NR-DC. |
| ***omitEN-DC***Only if this field is present, the UE shall omit band combinations and feature set combinations which are only applicable to (NG)EN-DC. |

– *UE-CapabilityRequestFilterNR*

The IE *UE-CapabilityRequestFilterNR* is used to request filtered UE capabilities.

***UE-CapabilityRequestFilterNR* information element**

-- ASN1START

-- TAG-UE-CAPABILITYREQUESTFILTERNR-START

UE-CapabilityRequestFilterNR ::= SEQUENCE {

 frequencyBandListFilter FreqBandList OPTIONAL, -- Need N

 nonCriticalExtension UE-CapabilityRequestFilterNR-v1540 OPTIONAL

}

UE-CapabilityRequestFilterNR-v1540 ::= SEQUENCE {

 srs-SwitchingTimeRequest ENUMERATED {true} OPTIONAL, -- Need N

 nonCriticalExtension UE-CapabilityRequestFilterNR-v16xy OPTIONAL

}

UE-CapabilityRequestFilterNR-v16xy ::= SEQUENCE {

 uplinkTxSwitchRequest-r16 ENUMERATED {true} OPTIONAL, -- Need N

 nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- TAG-UE-CAPABILITYREQUESTFILTERNR-STOP

-- ASN1STOP

----------------------------------- [Changes End] -----------------------------------