##

## Color coding used:

Green – feature part of mandatory set

Yellow – Feature not part of mandatory set and capability signalling added

Blue – No capability needed or pending discussion

RAN1 agreement:

Agreement:

* Wide-area IAB-MTs support the following Rel. 15 layer-1 mandatory UE features (as defined in TR38.822)
	+ Without capability
		- 0-1, 0-3, 0-4, 1-1 (only 1 preamble for component 1, component 2, component 3 except paging), 2-1, 2-5, 2-6, 2-12, 2-16, 2-16a, 2-32 (only components 1-4 and 7), 2-50 (only components 1,2), 2-52 (only components 1, 2), 3-1 (only components 1,2,3,4,5), 4-1, 5-1 (only components 1/2/3/4/5/6/7/9/10/12), 6-1, 7-1, 8-3
	+ With capability signaling which shall be set to '1'
		- 1-3, 2-22, 4-10
	+ The rest of Rel-15 layer-1 UE features other than the ones as listed above are optional for wide-area IAB-MTs.
* Note: Mandatory MT capabilities are independent from DU capabilities and do not imply a corresponding mandatory DU capability.

The UE feature list for local-area IAB-MTs is FFS

RAN4 agreements:

* 1-2, 1-3: Mandatory without capability signaling
* 1-4, 1-5 : Optional
* 1-6, 1-7, 2-14: Not applicable
* 1-8: Not applicable
	+ This is only applied for RAN4 feature 1-8; RAN4 decision should not impact on RAN1 related feature discussion including DCI based and RRC based BWP switching features*.*
* 2-10:[Optional]
	+ If the agreement will conflict with IAB RF requirements , RAN4 can further revisit it.
* 2-13, 2-15: Not applicable.

RAN4 agreements for Band and/or band combination related features including EN-DC,CA and SUL : 1-9, 1-10, 2-2, 2-3, 2-4, 2-5, 2-6, 2-9, 2-16 and 2-17. and 7.5kHz UL raster shift (1-11)

* Agreements:
	+ EN-DC should be supported from Rel-16 based on WID, the features related to EN-DC(1-9,1-10, 2-4,2-16) will be further discussed after the overall framework for EN-DC supporting is decided.
		- Keep these features as TBD at current stage.
	+ CA related features (2-2,2-3, 2-9 and 2-17) will be further discussed when the technical analysis is sufficient.
		- Keep them as TBD at current stage.
	+ 1-11 will be further discussed when there’s a band (for which 1-11 is mandatory) request from operators.
		- Keep it as TBD at current stage

RAN4, more study is needed:

The following features need more study, companies can provide technical analysis in next meeting.

* + 2-8, 2-11, 2-12, 3-1, 3-2 and 3-3.

## 4.1 Layer-1 UE features

Table 4.1-1 provides the list of Layer-1 features, as shown in [3] and the corresponding UE capability field name, as specified in TS 38.331 [2].

Table 4.1-1: Layer-1 feature list

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Features | Index | Feature group | Components | Prerequisite feature groups | Field name in TS 38.331 [2] | Parent IE in TS 38.331 [2] | Need of FDD/TDD differentiation | Need of FR1/FR2 differentiation | Note | Mandatory/Optional |
| 0. Waveform, modulation, subcarrier spacings, and CP | 0-1 | CP-OFDM waveform for DL and UL | 1) CP-OFDM for DL2) CP -OFDM for UL |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-2 | DFT-S-OFDM waveform for UL | Transform precoding for single-layer PUSCH |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-3 | DL modulation scheme | 1) QPSK modulation2) 16QAM modulation3) 64QAM modulation for FR1 |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-4 | UL modulation scheme | 1) QPSK modulation2) 16QAM modulation |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-5 | Extended CP | Extended CP | 1-1 in Table 4.3-1 | *extendedCP* | *BandNR* | n/a | n/a |  | Optional with capability signalling |
| 1. Initial access and mobility | 1-1 | Basic initial access channels and procedures | 1) RACH preamble format 2) SS block based RRM measurement 3) Broadcast SIB reception including RMSI/OSI and paging |  | n/a | n/a | No | No | Broadcast SIB reception including RMSI/OSI and paging are components of basic initial access channels and procedures for NR standalone and NE-DC | Mandatory without capability signalling |
| 1-2 | SS block based SINR measurement (SS-SINR) | SS-SINR measurement | 1-1 | *ss-SINR-Meas* | *MeasAndMobParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 1-3 | SS block based RLM | SS block based RLM | 1-1 | *ssb-RLM* | *MeasAndMobParametersCommon* | No | No |  | Mandatory with capability signalling which shall be set to '1' |
| 1-4 | CSI-RS based RRM measurement with associated SS-block | 1) CSI-RSRP measurement2) CSI-RSRQ measurement | 1-1, CSI-RS | *csi-RSRP-AndRSRQ-MeasWithSSB* | *MeasAndMobParametersFRX-Diff* | No | Yes | This does not discourage RAN4 to complete their work. There is expectation that RAN4 will complete the corresponding RRM measurement | Optional with capability signalling |
| 1-5 | CSI-RS based RRM measurement without associated SS-block | 1) CSI-RSRP measurement 2) CSI-RSRQ measurement3) There is SS-block in the target frequency on which the RRM measurement is performed | 1-1, CSI-RS | *csi-RSRP-AndRSRQ-MeasWithoutSSB* | *MeasAndMobParametersFRX-Diff* | No | Yes | This does not discourage RAN4 to complete their work. There is expectation that RAN4 will complete the corresponding RRM measurement | Optional with capability signalling |
| 1-6 | CSI-RS based RS-SINR measurement | CSI-SINR measurements | 1-1, 1-4 | *csi-SINR-Meas* | *MeasAndMobParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 1-7 | CSI-RS based RLM | CSI-RS based RLM | 1-1, CSI-RS | *csi-RS-RLM* | *MeasAndMobParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 1-8 | RLM based on a mix of SS block and CSI-RS signals within active BWP | RLM based on a mix of SS block and CSI-RS signals within active BWP | 1-3 and 1-7 | *ssb-AndCSI-RS-RLM* | *MeasAndMobParametersCommon* | No | No |  | Optional with capability signalling |
| 1-9 | CSI-RS based contention free RA for HO | CSI-RS based contention free RA for HO | 1-1, CSI-RS, 1-4 or 1-5 | *csi-RS-CFRA-ForHO* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 1-10 | Support of SCell without SS/PBCH block | Support SCell without SS/PBCH block | 1-1 | *scellWithoutSSB* | *FeatureSetDownlink* | n/a | n/a | Component 1) Whether or not UE is able to use SS/PBCH block from other Cells for time/frequency synchronization of SCell without SS/PBCH block | Mandatory with capability signalling for intra-band CAThis feature is not supported for inter band CA |
| 1-11 | Support of CSI-RS RRM measurement for SCell without SS/PBCH block |  | 1-10 | *csi-RS-MeasSCellWithoutSSB* | *FeatureSetDownlink* | n/a | n/a |  | Optional with capability signalling |
| 1-12 | E-UTRA RS-SINR measurement |  |  | *rs-SINR-MeasEUTRA* | *EUTRA-ParametersCommon* | No | No |  | Optional with capability signalling |
| 1-13 | Maximal number of CSI-RS resources for RRM and RS-SINR measurement across all measurement frequencies per slot |  | 1-4 or 1-5 or 1-6 | *maxNumberCSI-RS-RRM-RS-SINR* | *MeasAndMobParametersCommon* | No | No | If UE supports any of 1-5, 1-5a, and 1-6, UE shall report this capability 1-13 | Candidate value set: {4,8,16,32,64, 96} |
| 1-14 | Maximal number of CSI-RS resources within a slot per PCell/PSCell for CSI-RS based RLM |  | 1-7 or 1-8 | *maxNumberResource-CSI-RS-RLM* | *MeasAndMobParametersFRX-Diff* | No | Yes | If UE supports any of 1-7 and 1-8, UE shall report this capability 1-14 | Candidate value set: {2,4, 6, 8} |
| 2. MIMO | 2-1 | Basic PDSCH reception | 1) Data RE mapping2) Single layer transmission3) Support one TCI state |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 2-2 | PDSCH beam switching | 1) Time duration (definition follows clause 5.1.5 in TS 38.214), Xi, to determine and apply spatial QCL information for corresponding PDSCH reception.Time duration is defined counting from end of last symbol of PDCCH to beginning of the first symbol of PDSCH.Xi is the number of OFDM symbols, i is the index of SCS, l=1,2, corresponding to 60,120 kHz SCS. | 2-1 | *timeDurationForQCL* | *FeatureSetDownlink* | No | Applicable only to FR2 |  | Mandatory with capability signalling for FR2Candidate value set for X1 is {7, 14, 28}, Candidate value set for X2, {14, 28} |
| 2-3 | PDSCH MIMO layers | Supported maximal number of MIMO layers | 2-1 | *maxNumberMIMO-LayersPDSCH* | *FeatureSetDownlinkPerCC* | n/a | n/a |  | For single CC standalone NR, it is mandatory with capability signalling to support at least 4 MIMO layers in the bands where 4Rx is specified as mandatory for the given UE and at least 2 MIMO layers in FR2. Some relaxations to this requirement may be applicable in the future (including in Rel-15).Mandatory in all cases means mandatory with capability signalling. It is not expected that there is a signalling change (i.e. signalling remains to be defined as {1, 2, 4, 8} in every band and every band combination, including FR1 and FR2 in all cases. |
| 2-4 | TCI states for PDSCH | 1) Support number of active TCI states per BWP per CC, including control and data2) Maximum number of configured TCI states per CC for PDSCH | 2-1 | *tci-StatePDSCH {*1. *maxNumberActiveTCI-PerBWP*2. *maxNumberConfiguredTCIstatesPerCC* *}* | *MIMO-ParametersPerBand* | n/a | n/a | UE is required to track only the active TCI statesFor component 1 of FG2-4, 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. | Mandatory with capability signallingComponent-1: Candidate value set: {1, 2, 4, 8}Component-2: candidate value set: {4, 8, 16, 32, 64, 128}UE is mandated to signal 64 for FR2. For FR1, UE is mandated to report at least the max number of allowed SSB in the band. |
| 2-4a | Additional active TCI state for PDCCH | Support one additional active TCI state for control in addition to the supported number of active TCI states for PDSCH | 2-1 | *additionalActiveTCI-StatePDCCH* | *MIMO-ParametersPerBand* | n/a | n/a | Only applicable if Component-1 of 2-4 is set to 1 | Mandatory with capability signalling |
| 2-5 | Basic downlink DMRSfor scheduling type A | 1) Support 1 symbol FL DMRS without additional symbol(s) 2) Support 1 symbol FL DMRS and 1 additional DMRS symbol 3) Support 1 symbol FL DMRS and 2 additional DMRS symbols for at least one port. | 2-1 | n/a | n/a | n/a | n/a | conditioned to whether PDSCH scheduling type A is supported | Mandatory without capability signalling (condition to scheduling capability) |
| 2-6 | Basic downlink DMRSfor scheduling type B | 1) Support 1 symbol FL DMRS without additional symbol(s)2) Support 1 symbol FL DMRS and 1 additional DMRS symbol |  | n/a | n/a | n/a | n/a | conditioned to whether PDSCH scheduling type B is supported | Mandatory without capability signalling (condition to scheduling capability) |
| 2-6a | Support 1+2 DMRS (downlink) | Support 1 symbol FL DMRS and 2 additional DMRS symbols for more than one port | 2-5 | *oneFL-DMRS-TwoAdditionalDMRS-DL* | *FeatureSetDownlink-v1540* | No | Yes |  | Mandatory with capability signalling |
| 2-6b | Support alternative additional DMRS location | Support alternative additional DMRS position for co-existence with LTE CRS | 2-5 and 5-28 | *additionalDMRS-DL-Alt* | *FeatureSetDownlink-v1540* | No | n/a | This FG applies to FR1 only and 15kHz SCS. This applies to one additional DMRS case only | Optional with capability signalling |
| 2-7 | Supported 2 symbols front-loaded DMRS (downlink) | Support 2 symbols FL-DMRS | 2-5 | *twoFL-DMRS* (MSB) | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-8 | Supported 2 symbols front-loaded +2 symbols additional DMRS (downlink) | Support 2-symbol FL DMRS + one additional 2-symbols DMRS | 2-5 | *twoFL-DMRS-TwoAdditionalDMRS-DL* | *FeatureSetDownlink-v1540* | No | Yes |  | Optional with capability signalling |
| 2-9 | Support 1+3 DMRS symbols(downlink) | Support 1 symbol FL DMRS and 3 additional DMRS symbols | 2-5 | *oneFL-DMRS-ThreeAdditionalDMRS-DL* | *FeatureSetDownlink-v1540* | No | Yes |  | Optional with capability signalling |
| 2-10 | Support DMRS type (downlink) | Support DMRS {type 1, both type 1 and type 2} |  | *supportedDMRS-TypeDL* | *Phy-ParametersFRX-Diff* | No | Yes |  | Type 1 is mandatory with capability signalling. Type 2 is optional with capability signalling |
| 2-11 | Downlink dynamic PRB bundling (downlink) | Support dynamic PRB bundling indication via DCI | 2-1 | *dynamicPRB-BundlingDL* | *Phy-ParametersCommon* | No | No | Support of semi-static PRB bundling is mandatory | Optional with capability signalling |
| 2-12 | Basic PUSCH transmission | Data RE mappingSingle layer (single Tx) transmission Single port, single resource SRS transmission (SRS set use is configured as for codebook) |  | n/a | n/a | n/a | n/a | Support of SRS set usage configured as for codebook does not imply UE support of codebook based PUSCH MIMO transmission. | Mandatory without capability signalling |
| 2-13 | PUSCH codebook coherency subset | Supported codebook coherency subset type | 2-12 | *pusch-TransCoherence* | *MIMO-ParametersPerBand* | n/a | n/a |  | Optional with UE capabilityCandidate value set: {non-coherent, partial/non-coherent, full/partial/non-coherent} |
| 2-14 | Codebook based PUSCH MIMO transmission | 1) Supported codebook based PUSCH MIMO with maximal number of supported layers2) Supported max number of SRS resource per set (SRS set use is configured as for codebook). | 2-13 | *mimo-CB-PUSCH {*1. *maxNumberMIMO-LayersCB-PUSCH*2. *maxNumberSRS-ResourcePerSet**}* | *FeatureSetUplinkPerCC* | n/a | n/a | For SUL, uplink MIMO is not supported. | Optional with UE capabilityComponent-1:Candidate value: {no-codebook based MIMO, 1, 2, 4}Component-2Candidate value: {1, 2} |
| 2-15 | non-codebook based PUSCH transmission | 1) Maximal number of supported layers (non-codebook transmission scheme)2) Supported max number of SRS resource per set (SRS set use is configured as for non-codebook transmission).3) Maximum number of simultaneous transmitted SRS resources at one symbol | 2-12 | 1. *maxNumberMIMO-LayersNonCB-PUSCH**mimo-NonCB-PUSCH {*2. *maxNumberSRS-ResourcePerSet*3. *maxNumberSimultaneousSRS-ResourceTx**}* | 1. *FeatureSetUplinkPerCC*2, 3. *FeatureSetUplinkPerCC-v1540* | n/a | n/a | For SUL, uplink MIMO is not supported | Optional with UE capabilityComponent-1 candidate values: {1, 2, 4}Component-2Candidate value: {1,2,3,4}Component-3Candidate value: {1,2,3,4} |
| 2-15a | Association between CSI-RS and SRS | 1) Support association between NZP-CSI-RS and SRS resource set via RRC parameter "SRSresoureset" 2) A list of supported combinations, each combination is {Max # of Tx ports in one resource, Max # of resources and total # of Tx ports} across all CCs simultaneously. | 2-15 | *srs-AssocCSI-RS**SEQUENCE (SIZE (1..maxNrofCSI-RS-Resources)) OF {*2.1. *maxNumberTxPortsPerResource*2.2. *maxNumberResourcesPerBand*2.3. *totalNumberTxPortsPerBand**}* | *MIMO-ParametersPerBand* | n/a | n/a |  | Optional with capability signallingComponent-2: Maximum size of the list is 16. the candidate values for the max # of Tx port in one resource is {2, 4, 8, 12, 16, 24, 32}The candidate value set of the max # of resources is:{from 1 to 64}The candidate value set of total # of ports is:{from 2 to 256} |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb {*2.2. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*2.3. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC**}* | *CA-ParametersNR-v1540* |
| 2-15b | CSI-RS processing framework for SRS | 1) Maximum number of periodic SRS resources associated with CSI-RS per BWP2) Maximum number of aperiodic SRS resources associated with CSI-RS per BWP3) Maximum number of semi-persistent SRS resources associated with CSI-RS per BWP4) UE can process Y SRS resources associated with CSI-RS resources simultaneously in a CC. Includes P/SP/A SRS.5) UE can process X SRS resources associated with CSI-RS resources simultaneously across all CCs. Includes P/SP/A SRS. | 2-15a | *csi-RS-ProcFrameworkForSRS {*1. *maxNumberPeriodicSRS-AssocCSI-RS-PerBWP*2. *maxNumberAperiodicSRS-AssocCSI-RS-PerBWP*3. *maxNumberSP-SRS-AssocCSI-RS-PerBWP*4. *simultaneousSRS-AssocCSI-RS-PerCC*} | *MIMO-ParametersPerBand**Phy-ParametersFRX-Diff* (for FR1 + FR2 band combination) | n/a | n/a | Other MIMO capabilities than component 5 may further restrict (reduce) the number of SRS associated with CSI-RS that the UE has to simultaneously derive. | Optional with capability signallingComponent-1 candidate values: {1, 2, 3, 4}Component-2 candidate values {1, 2, 3, 4}Component-3 candidate values: {0, 1, 2, 3, 4}Component-4candidate values: {from 1 to 8}Component-5:candidate values: {from 5 to 32} |
| 5. *simultaneousSRS-AssocCSI-RS-AllCC* | *CA-ParametersNR-v1540* |
| 2-16 | Basic uplink DMRS (uplink) for scheduling type A | 1) Support 1 symbol FL DMRS without additional symbol(s)2) Support 1 symbol FL DMRS and 1 additional DMRS symbols 3) Support 1 symbol FL DMRS and 2 additional DMRS symbols |  | n/a | n/a | n/a | n/a | Conditioned to whether PUSCH scheduling type A is supported | Mandatory without capability signalling |
| 2-16a | Basic uplink DMRSfor scheduling type B | 1) Support 1 symbol FL DMRS without additional symbol(s)2) Support 1 symbol FL DMRS and 1 additional DMRS symbol |  | n/a | n/a | n/a | n/a | conditioned to whether PUSCH scheduling type B is supported | Mandatory without capability signalling |
| 2-16b | Support 1+2 DMRS (uplink) | Support 1 symbol FL DMRS and 2 additional DMRS symbols for more than one port | 2-16a and 2-16 | *oneFL-DMRS-TwoAdditionalDMRS-UL* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 2-17 | Support DMRS type (uplink) | Support DMRS {type 1, both type 1 and type 2} | 2-16 | *supportedDMRS-TypeUL* | *Phy-ParametersFRX-Diff* | No | Yes |  | Support both type 1 and type 2 are mandatory with capability signalling |
| 2-18 | Supported 2 symbols front-loaded DMRS (uplink) | Support 2 symbols FL-DMRS | 2-16 | *twoFL-DMRS* (LSB) | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 2-18a | Supported 2 symbols front-loaded +2 symbols additional DMRS (uplink) | Support 2-symbol FL DMRS + one additional 2-symbols DMRS | 2-16 | *twoFL-DMRS-TwoAdditionalDMRS-UL* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 2-19 | Support 1+3 uplink DMRS symbols(uplink) | Support 1 symbol FL DMRS and 3 additional DMRS symbols | 2-16 | *oneFL-DMRS-ThreeAdditionalDMRS-UL* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-20 | Beam correspondence | Support Beam correspondence |  | *beamCorrespondenceWithoutUL-BeamSweeping* | *MIMO-ParametersPerBand* | No | Applicable only to FR2 | Beam correspondence means each Tx port can be beamformed in a desirable direction but does not imply setting phase across ports. | Mandatory with capability signalling- UE that fulfils the beam correspondence requirement without the uplink beam sweeping shall set the bit to 1- UE that fulfils the beam correspondence requirement with the uplink beam sweeping shall set the bit to 0 |
| 2-21 | Periodic beam report | 1) Support report on PUCCH formats over 1 – 2 OFDM symbols once per slot2) Support report on PUCCH formats over 4 – 14 OFDM symbols once per slot |  | *periodicBeamReport* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability signalling for both FR1 and FR2 |
| 2-22 | Aperiodic beam report | Support aperiodic report on PUSCH |  | *aperiodicBeamReport* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability signalling for both FR1 and FR2 |
| 2-23 | Semi-persistent beam report on PUCCH | 1) Support report on PUCCH formats over 1 – 2 OFDM symbols once per slot (or piggybacked on a PUSCH)2) Support report on PUCCH formats over 4 – 14 OFDM symbols once per slot (or piggybacked on a PUSCH) |  | *sp-BeamReportPUCCH* | *MIMO-ParametersPerBand* | n/a | Yes |  | Optional with capability signalling |
| 2-23a | Semi-persistent beam report on PUSCH | Support semi-persistent report on PUSCH |  | *sp-BeamReportPUSCH* | *MIMO-ParametersPerBand* | n/a | Yes |  | Optional with capability signalling |
| 2-24 | SSB/CSI-RS for beam measurement | 1) The max number of SSB/CSI-RS (1Tx) resources (sum of aperiodic/periodic/semi-persistent) across all CCs configured to measure L1-RSRP within a slot shall not exceed MB\_1 2) The max number of CSI-RS resources (sum of aperiodic/periodic/semi-persistent) across all CCs configured to measure L1-RSRP shall not exceed MC\_1 3) The max number of CSI-RS (2Tx) resources (sum of aperiodic/periodic/semi-persistent) across all CCs to measure L1-RSRP within a slot shall not exceed MB\_2 4) Supported density of CSI-RS 5) The max number of aperiodic CSI-RS resources across all CCs configured to measure L1-RSRP shall not exceed MD\_1 | 2-21, 2-22 or 2-23, 2-23a | *beamManagementSSB-CSI-RS* {1. *maxNumberSSB-CSI-RS-ResourceOneTx*2. *maxNumberCSI-RS-Resource*3. *maxNumberCSI-RS-ResourceTwoTx*4. *supportedCSI-RS-Density*5. *maxNumberAperiodicCSI-RS-Resource*} | *MIMO-ParametersPerBand* | No | Yes |  | Mandatory with capability signallingComponent-1, candidate value set for MB\_1 is {0, 8, 16, 32, 64}On FR2, UE is mandated to signal MB\_1 >=8On FR1, MB\_1 >=8 is supported mandatory with capability signalling. Component-2, candidate value set for MC\_1 is {0, 4, 8, 16, 32, 64}For FR1, UE is mandated to report at least 8. Component-3, candidate value set for MB\_2 is {0, 4, 8, 16, 32, 64}Component-4: candidate value set: {"not supported", "1 only", "3 only", "both 1 and 3"}On FR2, UE is mandated to signal either "3 only" or "both 1 and 3"On FR1, either "3 only" or "both 1 and 3" is mandatory with UE capability signalling.Component-5, candidate value set for MD\_2 is {0, 1, 4, 8, 16, 32, 64}For both FR1 and FR2, UE is mandated to report at least 4 |
| 2-25 | Beam reporting timing | The number of symbols, Xi, between the last symbol of SSB/CSI-RS and the first symbol of the transmission channel containing beam report is at least RBi, wherei is the index of SCS, i=1,2,3,4 corresponding to 15,30,60,120 kHz SCS. | 2-24 | *beamReportTiming* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability Candidate value sets: X1 is {2, 4, 8}X2 is {4, 8, 14, 28}X3 is {8,14, 28}X4 is{14,28, 56} |
| 2-26 | Receiving beam selection using CSI-RS resource repetition "ON" | 1. Support Rx beam switching procedure using CSI-RS resource repetition "ON"2. Recommended CSI-RS resource repetition number per resource set, |  | *maxNumberRxBeam* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with UE capability at least for FR2Componet-2: candidate value set {2, 3, 4, 5, 6, 7, 8} |
| 2-27 | Beam switching | Maximum number of Tx + Rx beam changes a UE can conduct during a slot across the whole band CC B\_(B\_Total,). This number is defined as per SCS | 2-24 | *maxNumberRxTxBeamSwitchDL* | *MIMO-ParametersPerBand* | n/a | Applicable only to FR2 | It is assumed that spec enable the possibility to restrict the same beam across intra-band CCs | Optional with capability signalling Candidate value set: {4, 7, 14} |
| 2-28 | A-CSI-RS beam switching timing | Minimum time between the DCI triggering of AP-CSI-RS and aperiodic CSI-RS transmission shall be at least KBi symbols. (Symbols measured from last symbol containing the indication to first symbol of CSI-RS), wherei is the index of SCS, l=1,2 corresponding to 60,120 kHz SCS. |  | *beamSwitchTiming* | *MIMO-ParametersPerBand* | n/a | Applicable only to FR2 |  | Optional with capability signallingCandidate values:{14, 28, 48, 224, 336} |
| 2-29 | Non-group based beam reporting | Support of non-group based RSRP reporting with N\_max RSRP values reported |  | *maxNumberNonGroupBeamReporting* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability for both FR1 and FR2candidate value set is {1, 2, 4} |
| 2-29a | Group based beam reporting | Support of beam group RSRP reporting for group of 2 beams |  | *groupBeamReporting* | *MIMO-ParametersPerBand* | n/a | n/a |  | Optional with capability signalling |
| 2-30 | Uplink beam management | 1) Support of SRS based beam management 2) Supported max number of SRS resource per set (SRS set use is configured as for beam management).3) Supported max number of SRS resource sets (SRS set use is configured as for beam management). |  | *uplinkBeamManagement* {2. *maxNumberSRS-ResourcePerSet-BM*3. *maxNumberSRS-ResourceSet*} | *MIMO-ParametersPerBand* | n/a | n/a | Component-3 also impose additional constraint on the maximum number of SRS resource sets per supported time domain behaviour (periodic/semi-persistent/aperiodic) as {1,1,1,2,2,2,4,4} corresponding to reported values {from 1 to 8} | Optional with capability signalling- Capability signalling shall be set to 1 if 2-20 is set to 0- For the UE meeting the minimum peak EIRP and spherical coverage requirements without the uplink beam sweeping, this feature is optionalComponent-2, candidate value set is {2, 4, 8, 16} Component-3, candidate value set is {from 1 to 8} |
| 2-31 | Beam failure recovery | 1) Maximal number of CSI-RS resources across all CCs for UE to monitor PDCCH quality2) Maximal number of different SSBs across all CCs for UE to monitor PDCCH quality3) Maximal number of different CSI-RS and/or SSB resources across all CCs for new beam identifications. | 1-7 for CSI-RS based BFD/BFR | 1. *maxNumberCSI-RS-BFD*2. *maxNumberSSB-BFD*3. *maxNumberCSI-RS-SSB-CBD* | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability signalling for FR2Optional with capability signalling for FR1Component-1 candidate value set: {from 1 to 16} Component-2 candidate: {from 1 to 16} Component-3:Candidate value set is: {from 1 to 128}UE is mandated to support at least 32 for FR2 |
| 2-32 | Basic CSI feedback | 1) Type I single panel codebook based PMI (further discuss which mode or both to be supported as mandatory) 2) 2Tx codebook for FR1 and FR2 3) 4Tx codebook for FR14) 8Tx codebook for FR1 when configured as wideband CSI report5) p-CSI on PUCCH formats over 1 – 2 OFDM symbols once per slot (or piggybacked on a PUSCH)6) p-CSI report on PUCCH formats over 4 – 14 OFDM symbols once per slot (or piggybacked on a PUSCH)7) a-CSI on PUSCH (at least Z value >= 14 symbols, detail processing time to be discussed separately) further check a-CSI on p-CSI-RS and/or SP-CSI-RS from component-7 |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 2-32a | Semi-persistent CSI report on PUCCH | 1) Support report on PUCCH formats over 1 – 2 OFDM symbols once per slot (or piggybacked on a PUSCH) s2) Support report on PUCCH formats over 4 – 14 OFDM symbols once per slot (or piggybacked on a PUSCH) |  | *sp-CSI-ReportPUCCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 2-32b | Semi-persistent CSI report on PUSCH | Support semi-persistent CSI report on PUSCH |  | *sp-CSI-ReportPUSCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 2-32c | New CQI table | CQI table with target BLER of 10^-5 |  | *cqi-TableAlt* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-33 | CSI-RS and CSI-IM reception for CSI feedback | 1) Supported max # of configured NZP-CSI-RS resources per CC, 2) Supported max # of ports across all configured NZP-CSI-RS resources per CC3) Supported max # of configured CSI-IM resources per CC4) Supported max # simultaneous NZP-CSI-RS resources in active BWPs across all CCs5) Supported max # simultaneous NZP-CSI-RS resources per CC6) Supported max total # of CSI-RS ports in simultaneous NZP-CSI-RS resources in active BWPs across all CCs7) Supported max total # of CSI-RS ports in simultaneous NZP-CSI-RS resources per CC | 2-32 | *csi-RS-IM-ReceptionForFeedback* {1. *maxConfigNumberNZP-CSI-RS-PerCC*2. *maxConfigNumberPortsAcrossNZP-CSI-RS-PerCC*3. *maxConfigNumberCSI-IM-PerCC*5. *maxNumberSimultaneousNZP-CSI-RS-PerCC*7. *totalNumberPortsSimultaneousNZP-CSI-RS-PerCC*} | *MIMO-ParametersPerBand**Phy-ParametersFRX-Diff* (for FR1 + FR2 band combination) | n/a | n/a | All the candidate values are the range of capability signalling which doesn't determine whether UE is mandatory to support all the signalling values. | Mandatory with capability signallingComponent-1 candidate values: {from 1 to 32} Component-2 candidate values: {2, 4, 8, 12, 16, 24, 32, 40, 48 … ,256} Component-3: candidate values: {1,2,4,8,16,32}Component-4: candidate values {5, 6, 7, 8, 9, 10, 12, 14, 16, …, 62, 64} (includes all even numbers between 16 and 64)Component-5: candidate values {1, 2, 3 … 32}Component-6: candidate values {8, 16, 24, …, 248, 256}Component-7: candidate values {8, 16, 24, … 128 } |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb* {4. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*6. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC*} | *CA-ParametersNR-v1540* |
| 2-33a | Supported PDSCH RE-mapping patterns | 1) Supported max # of RE mapping patterns, each pattern can be described as a resource (including NZP/ZP CSI-RS and CRS, CORESET and SSB and bitmap configured in 5-26/27)Note: patterns are counted as per symbol per CC 2) Supported max # of RE mapping patterns, each pattern can be described as a resource (including NZP/ZP CSI-RS and CRS, CORESET and SSB and bitmap configured in 5-26/27/27a)Note: patterns are counted as per slot per CC |  | 1. *pdsch-RE-MappingFR1-PerSymbol*2. *pdsch-RE-MappingFR1-PerSlot* | *Phy-ParametersFR1* | No | Yes |  | Mandatory with capability signallingcandidate values: {10, 20} for FR1{6, 20} for FR2Compponent-2 candidate values: {from 16: 16: 256} for FR1{16: 16: 256} for FR2 |
| 1. *pdsch-RE-MappingFR2-PerSymbol*2. *pdsch-RE-MappingFR2-PerSlot* | *Phy-ParametersFR2* |
| 2-33b | SP CSI-RS | Support SP CSI-RS | 2-1 | *sp-CSI-RS* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 2-33c | SP CSI-IM | Support SP CSI-IM | 2-1 | *sp-CSI-IM* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-34 | NZP-CSI-RS based interference measurement | Support NZP-CSI-RS based interference measurement | 2-33 | *nzp-CSI-RS-IntefMgmt* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 2-35 | CSI report framework | 1) Maximum number of periodic CSI report setting per BWP for CSI report2) Maximum number of periodic CSI report setting per BWP for beam report3) Maximum number of aperiodic CSI report setting per BWP for CSI report4) Maximum number of aperiodic CSI report setting per BWP for beam report5) Maximum number of configured aperiodic CSI triggering states in *CSI-AperiodicTriggerStateList* per CC, 6) Maximum number of semi-persistent CSI report setting per BWP for CSI report7) Maximum number of semi-persistent CSI report setting per BWP for beam report8) UE can process Y CSI report(s) simultaneously in a CC. CSI reports can be P/SP/A CSI and any latency class and codebook type.9) UE can process X CSI report(s) simultaneously across all CCs. CSI reports can be P/SP/A CSI and any latency class and codebook type. | 2-32 | *csi-ReportFramework* {1. *maxNumberPeriodicCSI-PerBWP-ForCSI-Report*2. *maxNumberAperiodicCSI-PerBWP-ForCSI-Report*3. *maxNumberSemiPersistentCSI-PerBWP-ForCSI-Report*4. *maxNumberPeriodicCSI-PerBWP-ForBeamReport*5. *maxNumberAperiodicCSI-PerBWP-ForBeamReport*6. *maxNumberAperiodicCSI-triggeringStatePerCC*7. *maxNumberSemiPersistentCSI-PerBWP-ForBeamReport*8. *simultaneousCSI-ReportsPerCC*} | *MIMO-ParametersPerBand**Phy-ParametersFRX-Diff* (for FR1 + FR2 band combination) | n/a | n/a | Other MIMO capabilities than component 5 may further restrict (reduce) the number of simultaneously CSI report that UE is required to updateThe CSI report in component 4 and 5 includes the beam report and CSI reportEach component is independentCSI report setting are counted in the CC indicated by the parameter carrier in *CSI-ResourceConfig*. | Mandatory with capability signalingComponent-1 candidate values: {1, 2, 3, 4}Component-1a candidate values: {1, 2, 3, 4}Component-2 candidate values {1, 2, 3, 4}Component-2a candidate values {1, 2, 3, 4}Component-2b candidate values {3, 7, 15, 31, 63, 128}Component-3 candidate values: {0, 1, 2, 3, 4}Component-3a candidate values: {0, 1, 2, 3, 4}Component-4candidate values: {from 1 to 8}Component-5:candidate values: {from 5 to 32} |
| 9. *simultaneousCSI-ReportsAllCC* | *CA-ParametersNR-v1540* |
| 2-36 | Type I single panel codebook | 1) A list of supported combinations, each combination is {Max # of Tx ports in one resource, Max # of resources and total # of Tx ports} across all CCs simultaneously. Note: the above list doesn't differentiate the latency class and feedback type.2) Supported Codebook Mode(s)3) Max # of CSI-RS resource in a resource set | 2-35 | 1. *supportedCSI-RS-ResourceList**SEQUENCE (SIZE (1..maxNrofCSI-RS-Resources)) OF* {1.1. *maxNumberTxPortsPerResource*1.2. *maxNumberResourcesPerBand*1.3. *totalNumberTxPortsPerBand*}2. *modes*3. *maxNumberCSI-RS-PerResourceSet* | *CodebookParameters* | No | n/a | Simultaneously doesn't mean in the same slotFor the purpose of component-1 calculation: CSI-RS resources and CSI-RS ports within one CSI-RS resource are counted N times if the CSI-RS resource is referred by N report settings. | Mandatory with capability signalling Component-1: Maximum size of the list is 16. the candidate values for the max # of Tx port in one resource is {2, 4, 8, 12, 16, 24, 32}The candidate value set of the max # of resources is:{from 1 to 64}The candidate value set of total # of ports (including both channel and NZP-CSI-RS based interference measurement) is:{from 2 to 256}Component-2 candidate values: {"Mode-1 only\2, "Mode-1 and Mode-2"}. Component-3 Candidate values set: {1:8} |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb* {1.2. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*1.3. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC*} | *CA-ParametersNR-v1540* |
| 2-37 | Support Semi-open loop CSI | Support Semi-open loop CSI report | 2-35 | *semiOpenLoopCSI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-38 | CSI report without PMI | Support CSI report without PMI | 2-35 | *csi-ReportWithoutPMI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-39a | CSI report without CQI | Support CSI report without CQI | 2-35 | *csi-ReportWithoutCQI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 2-40 | Type I multi-panel codebook | 1) A list of supported combinations, each combination is {Max # of Tx ports in one resource, Max # of resources and total # of Tx ports} across all CCs simultaneously. Note: the above list doesn't differentiate the latency class and feedback type.2) Supported Codebook Mode(s): 3) Supported number of panels, Ng4) Max # of CSI-RS resource in a resource set | 2-35 | 1. *supportedCSI-RS-ResourceList**SEQUENCE (SIZE (1..maxNrofCSI-RS-Resources)) OF* {1.1. *maxNumberTxPortsPerResource*1.2. *maxNumberResourcesPerBand*1.3. *totalNumberTxPortsPerBand*}2. *modes*3. *nrofPanels*4. *maxNumberCSI-RS-PerResourceSet* | *CodebookParameters* | n/a | n/a | Simultaneously doesn't mean in the same slotFor the purpose of component-1 calculation: CSI-RS resources and CSI-RS ports within one CSI-RS resource are counted N times if the CSI-RS resource is referred by N report settings. | Optional with capability signallingComponent-1: Maximum size of the list is 16. the candidate values for the max # of Tx port in one resource is {8, 16, 32}The candidate value set of the max # of resources is:{from 1 to 64}The candidate value set of total # of ports (including both channel and NZP-CSI-RS based interference measurement) is:{from 2 to 256}Component-2 candidate values: {Mode-1, Mode-2, both}Component-3:Candidate value: {2,4} Component-4: candidate value set is {1:8} |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb* {1.2. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*1.3. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC*} | *CA-ParametersNR-v1540* |
| 2-41 | Type II codebook | 1) A list of supported combinations, each combination is {Max # of Tx ports in one resource, Max # of resources and total # of Tx ports} across all CCs simultaneously. Note: the above list doesn't differentiate the latency class and feedback type.2) Parameter "Lx" (number of beams) in codebook generation, where x is index of Tx ports, corresponding to 4,8,12,16,24 and 32 ports. 3) Support amplitude scaling type 4) Support amplitude subset restriction level | 2-35 | 1. *supportedCSI-RS-ResourceList**SEQUENCE (SIZE (1..maxNrofCSI-RS-Resources)) OF* {1.1. *maxNumberTxPortsPerResource*1.2. *maxNumberResourcesPerBand*1.3. *totalNumberTxPortsPerBand*}2. *parameterLx*3. *amplitudeScalingType*4. *amplitudeSubsetRestriction* | *CodebookParameters* | n/a | n/a | Simultaneously doesn't mean in the same slotFor the purpose of component-1 calculation: CSI-RS resources and CSI-RS ports within one CSI-RS resource are counted N times if the CSI-RS resource is referred by N report settings. | Optional with capability signalling Component-1: Maximum size of the list is 16. the candidate values for the max # of Tx port in one resource is {4, 8, 12, 16, 24, 32}The candidate value set of the max # of resources is:{from 1 to 64}The candidate value set of total # of ports (including both channel and NZP-CSI-RS based interference measurement) is:{from 2 to 256}Component-2, candidate values {2,3,4}Component-3, candidate values set: {wideband, wideband/subband}Component-4, candidate value set: {"no amplitude subset restriction", "support amplitude subset restriction"} |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb* {1.2. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*1.3. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC*} | *CA-ParametersNR-v1540* |
| 2-42 | Support Type II SP-CSI feedback on long PUCCH | Support type II SP-CSI feedback part-1 on PUCCH formats over 4 – 14 OFDM symbols once per slot | 2-41 | *type2-SP-CSI-Feedback-LongPUCCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 2-43 | Type II codebook with port selection | 1) A list of supported combinations, each combination is {Max # of Tx ports in one resource, Max # of resources and total # of Tx ports} across all CCs simultaneously. Note: the above list doesn't differentiate the latency class and feedback type.2) Parameter "Lx" (number of selected ports) in codebook generation, where x is index of Tx ports, corresponding to 4,8,12,16,24 and 32 ports. 3) Support amplitude scaling type |  | 1. *supportedCSI-RS-ResourceList**SEQUENCE (SIZE (1..maxNrofCSI-RS-Resources)) OF* {1.1. *maxNumberTxPortsPerResource*1.2. *maxNumberResourcesPerBand*1.3. *totalNumberTxPortsPerBand*}2. *parameterLx*3. *amplitudeScalingType* | *CodebookParameters* | n/a | n/a | Simultaneously doesn't mean in the same slotFor the purpose of component-1 calculation: CSI-RS resources and CSI-RS ports within one CSI-RS resource are counted N times if the CSI-RS resource is referred by N report settings. | Optional with capability signalling Component-1: Maximum size of the list is 16. the candidate values for the max # of Tx port in one resource is {4, 8, 12, 16, 24, 32}The candidate value set of the max # of resources is:{from 1 to 64}The candidate value set of total # of ports (including both channel and NZP-CSI-RS based interference measurement) is:{from 2 to 256}Component-2, candidate values set for "Lx" is {2,3,4}Component-3, candidate values set: {wideband, wideband/subband}Component-4: candidate value set is {1:8} |
| *csi-RS-IM-ReceptionForFeedbackPerBandComb* {1.2. *maxNumberSimultaneousNZP-CSI-RS-ActBWP-AllCC*1.3. *totalNumberPortsSimultaneousNZP-CSI-RS-ActBWP-AllCC*} | *CA-ParametersNR-v1540* |
| 2-44 | Basic DL PTRS | Support 1 port of DL PTRS |  | *onePortsPTRS* (MSB) | *Phy-ParametersFRX-Diff* | n/a | Yes |  | Mandatory with capability signalling for FR2Optional with capability signalling for FR1 |
| 2-46 | Downlink PTRS density recommendation | Preferred threshold sets, TSi for determine PTRS density, candidate value range is the same as that of downlink PTRS RRC configuration. i is the index of SCS, i=1,2,3,4 corresponding to 15,30,60,120 kHz SCS. | 2-44 | *ptrs-DensityRecommendationSetDL* {1. *frequencyDensity1*2. *frequencyDensity2*3. *timeDensity1*4. *timeDensity2*5. *timeDensity3*} | *MIMO-ParametersPerBand* | n/a | n/a | For each TSi, it composes of two values each selected from {1..276} for frequency density, and three values each selected from {0..29} for time density | Optional with capability signalling |
| 2-47 | Basic UL PTRS | Support 1 port of UL PTRS |  | *onePortsPTRS* (LSB) | *Phy-ParametersFRX-Diff* | n/a | Yes |  | Mandatory with capability signalling for FR2Optional with capability signalling for FR1 |
| 2-48 | Uplink PTRS | Supported 2 ports of PTRS | 2-47 | *twoPortsPTRS-UL* | *MIMO-ParametersPerBand* | n/a | n/a |  | Optional with capability signalling |
| 2-49 | Uplink PTRS density recommendation | Preferred threshold sets, TSi, for determine PTRS density, candidate value range is the same as that of uplink PTRS RRC configuration.i is the index of SCS, i=1,2,3,4 corresponding to 15,30,60,120 kHz SCS. | 2-47 | *ptrs-DensityRecommendationSetUL* {1. *frequencyDensity1*2. *frequencyDensity2*3. *timeDensity1*4. *timeDensity2*5. *timeDensity3*6. *sampleDensity1*7. *sampleDensity2*8. *sampleDensity3*9. *sampleDensity4*10. *sampleDensity5*} | *MIMO-ParametersPerBand* | n/a | n/a | For each TSi, it composes of two values each selected from {1..276} for frequency density, and three values each selected from {0..29} for time density, and five values each selected from {1..276} for sample density | Optional with capability signalling |
| 2-50 | Basic TRS | 1) Support of TRS (mandatory)2) All the periodicity are supported.3) Support TRS bandwidth configuration as both "BWP" and "min(52, BWP)" |  | n/a | n/a | n/a | n/a | TRS bandwidth configuration does not imply UE processing bandwidth | Mandatory without capability signalling |
| 2-51 | TRS (CSI-RS for tracking) | 1) TRS burst length (X), 2) Max # of TRS resource sets (per CC) UE is able to track simultaneously3) Max # of TRS resource sets configured to UE per CC4) Max # of TRS resource sets configured to UE across CCs | 2-50 | *csi-RS-ForTracking* {1. *maxBurstLength*2. *maxSimultaneousResourceSetsPerCC*3. *maxConfiguredResourceSetsPerCC*4. *maxConfiguredResourceSetsAllCC*} | *MIMO-ParametersPerBand* | n/a | n/a |  | Mandatory with capability signallingComponent-1:candidate values {1, "both 1 and 2"}. UE is mandated to report "both 1 and 2"Component-2: Candidate value set: {1 to 8}Component-3: Candidate value set: {1 to 64} UE is mandated to report at least 8 for FR1 and 16 for FR2. Component-4: Candidate value set: {1 to 256} UE is mandated to report at least 16 for FR1 and 32 for FR2. |
| 2-51a | Aperiodic TRS | DCI triggering Aperiodic TRS associated with periodic TRS | 2-50 | *aperiodicTRS* | *MIMO-ParametersPerBand* | n/a | Yes |  | Optional with capability signalling |
| 2-52 | Basic SRS | 1) Support 1 port SRS transmission2) Support periodic/aperiodic SRS transmission3) Support SRS Frequency intra/inter-slot hopping within BWP4) At least one SRS resource per CC for aperiodic and periodic separately |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 2-53 | SRS resources | 1) Maximum number of aperiodic SRS resources (configured to UE) per BWP 2) Maximum number of aperiodic SRS resources (configured to UE) per BWP per slot3) Maximum number of periodic SRS resources (configured to UE) per BWP4) Maximum number of periodic SRS resources (configured to UE) per BWP per slot5) Maximum number of semi-persistent SRS resources (configured to UE) per BWP6) Maximum number of semi-persistent SRS resources (configured to UE) per BWP per slot7) Maximum number of SRS port per resource | 2-52 | *supportedSRS-Resources* {1. *maxNumberAperiodicSRS-PerBWP*2. *maxNumberAperiodicSRS-PerBWP-PerSlot*3. *maxNumberPeriodicSRS-PerBWP*4. *maxNumberPeriodicSRS-PerBWP-PerSlot*5. *maxNumberSemiPersitentSRS-PerBWP*6. *maxNumberSP-SRS-PerBWP-PerSlot*7. *maxNumberSRS-Ports-PerResource*} | *FeatureSetUplink* | n/a | n/a |  | Mandatory with capability signalling Component-1: candidate value: {from 1, 2, 4, 8, 16} Component-2 candidate value: {1,2,3,4,5,6}Component-3: candidate value: {from 1, 2, 4, 8, 16}Component-4 candidate value: {1,2,3,4,5, 6}Component-5: candidate value: {from 1, 2, 4, 8, 16} } Component-6 candidate value: {1, 2,3,4,5, 6}Component-7 candidate values: {1, 2, 4}Support SP-SRS is mandatory with capability |
| 2-55 | SRS Tx switch | 1) Support SRS Tx port switch, 2) Report whether the uplink TX switching impact to downlink receiving in a band,3) Report whether the UL Tx is switched together with UL Tx in another band | 2-53 | *srs-TxSwitch* {1. *supportedSRS-TxPortSwitch*2. *txSwitchImpactToRx*3. *txSwitchWithAnotherBand*} | *BandParameters-v1540* | n/a | n/a | Component-2 is per band pair per band combinationComponent-3 is per band pair per band combinationThe band pair in Component-2 and Component-3 can be an LTE band and an NR band2T4R is 2 pairs of antennas"R" refers to a subset/set of receive antennas for PDSCH; "T" refers to the SRS antennas used for DL CSI acquisition | Mandatory with capability signallingComponent-1 is a list of TRx pairs, candidates are {"Not supported", "1T2R", "1T4R", "2T4R", "1T4R/2T4R", "1T=1R", "2T=2R", "4T=4R"}Component-2: Candidate value set: {yes, no}Component-3: Candidate value set: {yes, no} |
| 2-56 | SRS carrier switch | Report inter-cell switching time capability | 2-53 | *srs-CarrierSwitch* {*srs-SwitchingTimesListNR*, or*srs-SwitchingTimesListEUTRA*} | *BandParameters-v1540* | No | n/a | RAN4 reply LS, R1-1805817, includes candidate value sets | Optional with capability signalling |
| 2-58 | For SRS for CB PUSCH and antenna switching on FR1, zero slot offset for aperiodic SRS transmission | For SRS for CB PUSCH and antenna switching on FR1, support of zero slot offset between aperiodic SRS triggering and transmission | 2-53 | *zeroSlotOffsetAperiodicSRS* | *FeatureSetUplink-v1540* | n/a | n/a |  | Optional with capability signalling |
| 2-59 | Configured spatial relations | Maximum number of configured spatial relations per CC for PUCCH and SRS |  | *spatialRelations* {2-59. *maxNumberConfiguredSpatialRelations*2-60. *maxNumberActiveSpatialRelations*2-61. *additionalActiveSpatialRelationPUCCH*2-62. *maxNumberDL-RS-QCL-TypeD*} | MIMO-ParametersPerBand | n/a | Only applicable to FR2 |  | Candidate value set: {4, 8, 16, 32, 64, 96}UE is mandated to report 16 or higher values. |
| 2-60 | Active spatial relations | Maximum total number of {unique DL RS (except for aperiodic NZP CSI-RS) and SRS without spatial relation configured, and, TCI states available for DCI triggering of aperiodic NZP CSI-RS}, for indicating spatial domain transmit filter for PUCCH and SRS for PUSCH, per BWP per CC | 2-59 | n/a | Only applicable to FR2 | "Unique" means RS identity. An SSB and a CSI-RS are always counted as different. Two CSI-RSs are different if they have different CSI-RS resource IDs. | Mandatory with capability signallingCandidate value set: {1, 2, 4, 8, 14} |
| 2-61 | Additional active spatial relation for PUCCH | Support one additional active spatial relation for PUCCH | 2-60 | n/a | n/a | Only applicable if 2-60 is set to 1. | Mandatory with capability signalling |
| 2-62 | Max number of downlink RS resources used for QCL type-D in the active TCI states and active spatial relation info | Max number of downlink RS resources in the active TCI states and active spatial relation info per CC | 2-4, 2-4a and 2-60 | n/a | n/a | Reference relationship follows 2-4/2-60 | Optional with capability signalling Candidate value set: {1,2,4,8, 14} |
| 3. DL control channel and procedure | 3-1 | Basic DL control channel | 1) One configured CORESET per BWP per cell in addition to CORESET0- CORESET resource allocation of 6RB bit-map and duration of 1 – 3 OFDM symbols for FR1- For type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSSs, CORESET resource allocation of 6RB bit-map and duration 1-3 OFDM symbols for FR2- For type 1 CSS with dedicated RRC configuration and for type 3 CSS, UE specific SS, CORESET resource allocation of 6RB bit-map and duration 1-2 OFDM symbols for FR2- REG-bundle sizes of 2/3 RBs or 6 RBs- Interleaved and non-interleaved CCE-to-REG mapping- Precoder-granularity of REG-bundle size - PDCCH DMRS scrambling determination- TCI state(s) for a CORESET configuration2) CSS and UE-SS configurations for unicast PDCCH transmission per BWP per cell- PDCCH aggregation levels 1, 2, 4, 8, 16- UP to 3 search space sets in a slot for a scheduled SCell per BWPThis search space limit is before applying all dropping rules. - For type 1 CSS with dedicated RRC configuration, type 3 CSS, and UE-SS, the monitoring occasion is within the first 3 OFDM symbols of a slot- For type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSS, the monitoring occasion can be any OFDM symbol(s) of a slot, with the monitoring occasions for any of Type 1- CSS without dedicated RRC configuration, or Types 0, 0A, or 2 CSS configurations within a single span of three consecutive OFDM symbols within a slot3) Monitoring DCI formats 0\_0, 1\_0, 0\_1, 1\_14) Number of PDCCH blind decodes per slot with a given SCS follows Case 1-1 table5) Processing one unicast DCI scheduling DL and one unicast DCI scheduling UL per slot per scheduled CC for FDD6) Processing one unicast DCI scheduling DL and 2 unicast DCI scheduling UL per slot per scheduled CC for TDD |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 3-1' | For type 1 CSS with dedicated RRC configuration and for type 3 CSS, UE specific SS, CORESET resource allocation of 6RB bit-map and duration 3 OFDM symbols for FR2 | For type 1 CSS with dedicated RRC configuration and for type 3 CSS, UE specific SS, CORESET resource allocation of 6RB bit-map and duration 3 OFDM symbols for FR2 |  | *type1-3-CSS* | *FeatureSetDownlink* | n/a | n/a |  | Mandatory with capability signalling |
| 3-2 | PDCCH monitoring on any span of up to 3 consecutive OFDM symbols of a slot | For a given UE, all search space configurations are within the same span of 3 consecutive OFDM symbols in the slot |  | *pdcchMonitoringSingleOccasion* | *Phy-ParametersFR1* | No | Applicable only to FR1 |  | Optional with capability signalling |
| 3-3 | More than one CORESET configurations per BWP in addition to CORESET0 | More than one CORESET configurations per BWP in addition to CORESET0 |  | *multipleCORESET* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling for FR1Mandatory with capability signalling for FR2 |
| 3-4 | More than one TCI state configurations per CORESET | More than one TCI state configurations per CORESET |  | *multipleTCI* | *BandNR* | n/a | n/a | UE is only required to track one active TCI state per CORESETUE is required to support minimum between 64 and number of configured TCI states in 2-4, component 2). | Mandatory with capability signaling which shall be set to '1' |
| 3-5 | For type 1 CSS with dedicated RRC configuration, type 3 CSS, and UE-SS, monitoring occasion can be any OFDM symbol(s) of a slot for Case 2 | For type 1 CSS with dedicated RRC configuration, type 3 CSS, and UE-SS, monitoring occasion can be any OFDM symbol(s) of a slot for Case 2 |  | *pdcch-MonitoringAnyOccasions* {3-5. *withoutDCI-Gap*3-5a. *withDCI-Gap*} | *FeatureSetDownlink* | n/a | n/a |  | Optional with capability signalling |
| 3-5a | For type 1 CSS with dedicated RRC configuration, type 3 CSS, and UE-SS, monitoring occasion can be any OFDM symbol(s) of a slot for Case 2 with a DCI gap | For type 1 CSS with dedicated RRC configuration, type 3 CSS and UE-SS, monitoring occasion can be any OFDM symbol(s) of a slot for Case 2, with minimum time separation (including the cross-slot boundary case) between two DL unicast DCIs, between two UL unicast DCIs, or between a DL and an UL unicast DCI in different monitoring occasions where at least one of them is not the monitoring occasions of FG-3-1, for a same UE as- 2OFDM symbols for 15kHz- 4OFDM symbols for 30kHz- 7OFDM symbols for 60kHz with NCP- 11OFDM symbols for 120kHzUp to one unicast DL DCI and up to one unicast UL DCI in a monitoring occasion except for the monitoring occasions of FG 3-1.In addition for TDD the minimum separation between the first two UL unicast DCIs within the first 3 OFDM symbols of a slot can be zero OFDM symbols. |  | n/a | n/a |  | Optional with capability signalling |
| 3-5b | All PDCCH monitoring occasion can be any OFDM symbol(s) of a slot for Case 2 with a span gap | PDCCH monitoring occasions of FG-3-1, plus additional PDCCH monitoring occasion(s) can be any OFDM symbol(s) of a slot for Case 2, and for any two PDCCH monitoring occasions belonging to different spans, where at least one of them is not the monitoring occasions of FG-3-1, in same or different search spaces, there is a minimum time separation of X OFDM symbols (including the cross-slot boundary case) between the start of two spans, where each span is of length up to Y consecutive OFDM symbols of a slot. Spans do not overlap. Every span is contained in a single slot. The same span pattern repeats in every slot. The separation between consecutive spans within and across slots may be unequal but the same (X, Y) limit must be satisfied by all spans. Every monitoring occasion is fully contained in one span. In order to determine a suitable span pattern, first a bitmap b(l), 0<=l<=13 is generated, where b(l)=1 if symbol l of any slot is part of a monitoring occasion, b(l)=0 otherwise. The first span in the span pattern begins at the smallest l for which b(l)=1. The next span in the span pattern begins at the smallest l not included in the previous span(s) for which b(l)=1. The span duration is max{maximum value of all CORESET durations, minimum value of Y in the UE reported candidate value} except possibly the last span in a slot which can be of shorter duration. A particular PDCCH monitoring configuration meets the UE capability limitation if the span arrangement satisfies the gap separation for at least one (X, Y) in the UE reported candidate value set in every slot, including cross slot boundary.For the set of monitoring occasions which are within the same span:• Processing one unicast DCI scheduling DL and one unicast DCI scheduling UL per scheduled CC across this set of monitoring occasions for FDD• Processing one unicast DCI scheduling DL and two unicast DCI scheduling UL per scheduled CC across this set of monitoring occasions for TDD• Processing two unicast DCI scheduling DL and one unicast DCI scheduling UL per scheduled CC across this set of monitoring occasions for TDDThe number of different start symbol indices of spans for all PDCCH monitoring occasions per slot, including PDCCH monitoring occasions of FG-3-1, is no more than floor(14/X) (X is minimum among values reported by UE).The number of different start symbol indices of PDCCH monitoring occasions per slot including PDCCH monitoring occasions of FG-3-1, is no more than 7.The number of different start symbol indices of PDCCH monitoring occasions per half-slot including PDCCH monitoring occasions of FG-3-1 is no more than 4 in SCell. |  | *pdcch-MonitoringAnyOccasionsWithSpanGap*(X, Y):*set1* = (7, 3);*set2* = (4, 3) and (7, 3);*set3* = (2, 2) and (4, 3) and (7, 3). | *FeatureSetDownlink-v1540* | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signallingCandidate value set for (X, Y):{(7, 3), (4, 3) and (7, 3), (2, 2) and (4, 3) and (7, 3)} |
| 3-6 | Dynamic SFI monitoring | Adjust periodic and semi-persistent signal reception and transmission in response to detected dynamic UL/DL configuration |  | *dynamicSFI* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Optional with capability signalling |
| 3-7 | Precoder-granularity of CORESET size | Precoder-granularity of CORESET size |  | *precoderGranularityCORESET* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 3-8 | Up to 10 search spaces in a SCell | Up to 10 search spaces in a slot in an SCell per BWP |  | *maxNumberSearchSpaces* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 4. UL control channel and procedure | 4-1 | Basic UL control channel | 1) PUCCH format 0 over 1 OFDM symbols once per slot 2) PUCCH format 0 over 2 OFDM symbols once per slot with frequency hopping as "enabled"3) PUCCH format 1 over 4 – 14 OFDM symbols once per slot with intra-slot frequency hopping as "enabled"5) One SR configuration per PUCCH group6) HARQ-ACK transmission once per slot with its resource/timing determined by using the DCI7)SR/HARQ multiplexing once per slot using a PUCCH when SR/HARQ-ACK are supposed to be sent by overlapping PUCCH resources with the same starting symbols in a slot8) HARQ-ACK piggyback on PUSCH with/without aperiodic CSI once per slot when the starting OFDM symbol of the PUSCH is the same as the starting OFDM symbols of the PUCCH resource that HARQ-ACK would have been transmitted on9) Semi-static beta-offset configuration for HARQ-ACK10) Single group of overlapping PUCCH/PUCCH and overlapping PUCCH/PUSCH s per slot per PUCCH cell group for control multiplexing |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 4-2 | 2 PUCCH of format 0 or 2 in consecutive symbols | 1) 2 PUCCH format 0/2 in different symbols and once per slot for HARQ-ACK, 2) 2 PUCCH format 0 in different symbols and once per slot for SR 3) 2 PUCCH format 2 in different symbols and once per slot for CSI over two consecutive OFDM symbols |  | *twoPUCCH-F0-2-ConsecSymbols* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Optional with capability signalling |
| 4-3 | PUCCH format 2 over 1 – 2 OFDM symbols once per slot with frequency hopping as "enabled" | PUCCH format 2 over 1 – 2 OFDM symbols once per slot with frequency hopping as "enabled" |  | *pucch-F2-WithFH* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling which shall be set to '1' |
| 4-4 | PUCCH format 3 over 4 – 14 OFDM symbols once per slot with frequency hopping as "enabled" | PUCCH format 3 over 4 – 14 OFDM symbols once per slot with frequency hopping as "enabled" |  | *pucch-F3-WithFH* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling which shall be set to '1' |
| 4-5 | PUCCH format 4 over 4 – 14 OFDM symbols once per slot with frequency hopping as "enabled" | PUCCH format 4 over 4 – 14 OFDM symbols once per slot with frequency hopping as "enabled" |  | *pucch-F4-WithFH* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 4-6 | Non-frequency hopping for PUCCH formats 0 and 2 with frequency hopping as "disabled" | Non-frequency hopping for PUCCH formats 0 and 2 with frequency hopping as "disabled" |  | *freqHoppingPUCCH-F0-2* | *Phy-ParametersFRX-Diff* | No | Yes | The value indicated by this field is "*notSupported*". | Mandatory with capability signalling |
| 4-7 | Non-frequency hopping for PUCCH format 1, 3, and 4 with frequency hopping as "disabled" | Non-frequency hopping for PUCCH format 1, 3, and 4 with frequency hopping as "disabled" |  | *freqHoppingPUCCH-F1-3-4* | *Phy-ParametersFRX-Diff* | No | Yes | The value indicated by this field is "*notSupported*". | Mandatory with capability signalling |
| 4-10 | Dynamic HARQ-ACK codebook | Dynamic HARQ-ACK codebook |  | *dynamicHARQ-ACK-Codebook* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signaling which shall be set to '1' |
| 4-11 | Semi-static HARQ-ACK codebook | Semi-static HARQ-ACK codebook |  | *semiStaticHARQ-ACK-Codebook* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 4-12 | HARQ-ACK spatial bundling for PUCCH or PUSCH per PUCCH group | HARQ-ACK spatial bundling for PUCCH or PUSCH per PUCCH group |  | *spatialBundlingHARQ-ACK* | *Phy-ParametersCommon* | No | No | Applicable to UE supporting more than 4 layers | Mandatory with capability signalling |
| 4-13 | More than one SR configurations per PUCCH group | More than one SR configurations per PUCCH group |  | *multipleSR-Configurations* | *MAC-ParametersXDD-Diff* | Yes | No |  | Optional with capability signalling |
| 4-19 | SR/HARQ-ACK/CSI multiplexing once per slot using a PUCCH (or HARQ-ACK/CSI piggybacked on a PUSCH) when SR/HARQ-ACK/CSI are supposed to be sent with the same starting symbol on the PUCCH resources in a slot | SR/HARQ-ACK/CSI multiplexing once per slot, where overlapping PUCCH resources have the same starting symbols on the PUCCH resources in a slot while precluding the case of SR/HARQ-ACK by overlapping PUCCH resources with the same starting symbols on the PUCCH resources in a slot |  | *sameSymbol* in *mux-SR-HARQ-ACK-CSI-PUCCH-OncePerSlot* | *Phy-ParametersFRX-Diff* | No | Yes | If FG4-28 is not included or not supported, HARQ-ACK/CSI piggyback on PUSCH once per slot when the starting OFDM symbol of the PUSCH is the same as the starting OFDM symbols of the PUCCH resource(s) that would have been transmitted onIf FG4-28 is included and supported, HARQ-ACK/CSI piggyback on PUSCH once per slot for which case the starting OFDM symbol of the PUSCH is the different from the starting OFDM symbols of the PUCCH resource(s) that would have been transmitted on | Mandatory with capability signalling |
| 4-19a | SR/HARQ-ACK multiplexing once per slot using a PUCCH (or HARQ-ACK piggybacked on a PUSCH) when SR/HARQ-ACK are supposed to be sent with different starting symbols in a slot | Overlapping PUCCH resources have different starting symbols in a slot | 4-19 | *mux-SR-HARQ-ACK-PUCCH* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 4-19b | SR/HARQ-ACK/CSI multiplexing more than once per slot using a PUCCH (or HARQ-ACK/CSI piggybacked on a PUSCH) when SR/HARQ-ACK/CSI are supposed to be sent with the same or different starting symbol in a slot | Overlapping PUCCH resources have same or different starting symbols in a slot | 4-19c | *mux-SR-HARQ-ACK-CSI-PUCCH-MultiPerSlot* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 4-19c | SR/HARQ-ACK/CSI multiplexing once per slot using a PUCCH (or HARQ-ACK/CSI piggybacked on a PUSCH) when SR/HARQ-ACK/CSI are supposed to be sent with different starting symbols in a slot | Overlapping PUCCH resources have different starting symbols in a slot | 4-19a | *diffSymbol* in *mux-SR-HARQ-ACK-CSI-PUCCH-OncePerSlot* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 4-20 | UCI code-block segmentation | UCI code-block segmentation |  | *uci-CodeBlockSegmentation* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 4-21 | Dynamic beta-offset configuration and indication for HARQ-ACK and/or CSI | Dynamic beta-offset configuration and indication for HARQ-ACK and/or CSI |  | *dynamicBetaOffsetInd-HARQ-ACK-CSI* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 4-22 | 1 PUCCH format 0 or 2 and 1 PUCCH format 1, 3, or 4 in the same slot | 1 PUCCH format 0 or 2and 1 PUCCH format 1, 3, and 4 in the same slot |  | *onePUCCH-LongAndShortFormat* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 4-22a | 2 PUCCH transmissions in the same slot which are not covered by 4-22 and 4-2 | 2 PUCCH transmissions in the same slot which are not covered by 4-22 and 4-2 |  | *twoPUCCH-AnyOthersInSlot* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 4-23 | Repetitions for PUCCH format 1, 3, and 4 over multiple slots with K = 2, 4, 8 | Repetitions for PUCCH format 1, 3, and 4 over multiple slots with K = 2, 4, 8 |  | *pucch-Repetition-F1-3-4* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 4-24 | PUCCH-spatialrelationinfo indication by a MAC CE per PUCCH resource | PUCCH-spatialrelationinfo indication by a MAC CE per PUCCH resource |  | *pucch-SpatialRelInfoMAC-CE* | *BandNR* | n/a | n/a |  | Mandatory with capability signalling for FR2Optional with capability signalling for FR1 |
| 4-25 | Parallel SRS and PUCCH/PUSCH transmission across CCs in inter-band CA | Parallel SRS and PUCCH/PUSCH transmission across CCs in inter-band CA | 2-52, 4-1, 2-12, 6-6 | *parallelTxSRS-PUCCH-PUSCH* | *CA-ParametersNR* | n/a | n/a | This feature is supported only in inter-band CA. | Optional with capability signalling |
| 4-26 | Parallel PRACH and SRS/PUCCH/PUSCH transmissions across CCs in inter-band CA | Parallel PRACH and SRS/PUCCH/PUSCH transmissions across CCs in inter-band CA | 1-1, 2-52, 4-1, 2-12, 6-6 | *parallelTxPRACH-SRS-PUCCH-PUSCH* | *CA-ParametersNR* | n/a | n/a | This feature is supported only in inter-band CA. | Optional with capability signalling |
| 4-27 | More than one group of overlapping channels for control multiplexing | More than one group of overlapping PUCCHs and PUSCHs per slot per PUCCH cell group for control multiplexing |  | *mux-MultipleGroupCtrlCH-Overlap* | *Phy-ParametersFRX-Diff* | No | Yes | If a UE does not indicate supporting any of 4-2, 4-22, and 4-22a, the UE is not expected to be scheduled with more than one group of overlapping PUCCHs without PUSCH in each of the groups | Optional with capability signalling |
| 4-28 | HARQ-ACK multiplexing on PUSCH with different PUCCH/PUSCH starting OFDM symbols | HARQ-ACK piggyback on a PUSCH with/without aperiodic CSI once per slot when the starting OFDM symbol of the PUSCH is different from the starting OFDM symbols of the PUCCH resource that HARQ-ACK would have been transmitted on | 4-1 | *mux-HARQ-ACK-PUSCH-DiffSymbol* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 5. Scheduling/HARQ operation | 5-1 | Basic scheduling/HARQ operation | 1) Frequency-domain resource allocation- RA Type 0 only and Type 1 only for PDSCH without interleaving- RA Type 1 for PUSCH without interleaving2) Time-domain resource allocation- 1-14 OFDM symbols for PUSCH once per slot- One unicast PDSCH per slot - Starting symbol, and duration are determined by using the DCI- PDSCH mapping type A with 7-14 OFDM symbols- PUSCH mapping type A and type B- For type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSS, PDSCH mapping type A with {4-14} OFDM symbols and type B with {2, 4, 7} OFDM symbols3) TBS determination4) Nominal UE processing time for N1 and N2 (Capability #1)5) HARQ process operation with configurable number of DL HARQ processes of up to 166) Cell specific RRC configured UL/DL assignment for TDD7) Dynamic UL/DL determination based on L1 scheduling DCI with/without cell specific RRC configured UL/DL assignment8) Intra-slot frequency-hopping for PUSCH scheduled by Type 1 CSS before RRC connection 9) In TDD support at most one switch point per slot for actual DL/UL transmission(s)10) DL scheduling slot offset K0=011) DL scheduling slot offset K0=1 for type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSS12) UL scheduling slot offset K2<=12For type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSS, interleaving for VRB-to-PRB mapping for PDSCH |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 5-1a | UE specific RRC configure UL/DL assignment | Dynamic UL/DL determination based on L1 scheduling DCI with cell-specific and UE specific RRC configured UL/DL assignment |  | *ue-SpecificUL-DL-Assignment* | *FeatureSetDownlink* | n/a | n/a |  | Optional with capability signalling |
| 5-1b | More than one DL/UL switch point in a slot | In TDD support more than one switch points in a slot for actual DL/UL transmission(s) |  | *tdd-MultiDL-UL-SwitchPerSlot* | *Phy-ParametersFRX-Diff* | TDD only | Yes |  | Optional with capability signalling |
| 5-2 | RA Type 0 for PUSCH | RA Type 0 for PUSCH |  | *ra-Type0-PUSCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-3 | Dynamic switching between RA Type 0 and RA Type 1 for PDSCH | Dynamic switching between RA Type 0 and RA Type 1 for PDSCH |  | *dynamicSwitchRA-Type0-1-PDSCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-4 | Dynamic switching between RA Type 0 and RA Type 1 for PUSCH | Dynamic switching between RA Type 0 and RA Type 1 for PUSCH | 5-2 | *dynamicSwitchRA-Type0-1-PUSCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-5a | UE PDSCH processing capability #2 | UE can report values 'X' and 'Fallback', and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X DL CCs, the UE may expect to be scheduled with up to 1 PDSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled, otherwise - 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 reported2) No scheduling limitation3) N1 based on Table 5.3-2 of TS 38.214 for given SCS from {15, 30, 60} kHz |  | *pdsch-ProcessingType2* | *FeatureSetDownlink-v1540* | n/a | Applicable to FR1 only | This capability is necessary for each SCS (15kHz, 30kHz, 60kHz) More than one set of per SCS per band reports can be signaled for a given band combination | Optional with capability signalingCandidate values for Component 1:X in {1, ..., 16}, Fallback {'SC','Cap1-only'} |
| 5-5b | UE PDSCH processing capability #2 with scheduling limitation for 30kHz-SCS | Capability #2 supported only if 1 carrier configured in the band (independent of #carriers configured in other bands)2) Max PDSCH BW of 136 PRBs on the configured serving cell which processingType2Enabled is configured and set to enabled3) N1 based on Table 5.3-2 of TS 38.214 for 30 kHz SCS4) UE reports the number of unicast PDSCH per slot for different TBs |  | *pdsch-ProcessingType2-Limited* | *FeatureSetDownlink-v1540* | n/a | Applicable to FR1 only | This capability is applicable to 30kHz-SCS only | Optional with capability signalingComponent 4) the value ranges {1, 2, 4, 7} |
| 5-5c | UE PUSCH processing capability #2 | UE can report values 'X' and 'Fallback', and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X UL CCs, the UE may expect to be scheduled with up to 1 PUSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled, otherwise - 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 reported2) N2 based on Table 6.4-2 of TS 38.214 for given SCS from {15, 30, 60} kHz |  | *pusch-ProcessingType2* | *FeatureSetUplink-v1540* | n/a | Applicable to FR1 only | This capability is necessary for each SCS (15kHz, 30kHz, 60kHz)More than one set of per SCS per band reports can be signaled for a given band combination | Optional with capability signalingCandidate values for Component 1:X in {1, …, 16}, Fallback {'SC','Cap1-only'} |
| 5-6 | PDSCH mapping type A with less than 7 OFDM symbols | or type 1 CSS with dedicated RRC configuration, for type 3 CSS and UE-SS, PDSCH mapping type A with less than 7 OFDM symbols |  | *pdsch-MappingTypeA* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling which shall be set to '1' |
| 5-6a | PDSCH mapping type B | PDSCH mapping type B |  | *pdsch-MappingTypeB* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 5-7 | Interleaving for VRB-to-PRB mapping for PDSCH | Interleaving for VRB-to-PRB mapping for PDSCH |  | *interleavingVRB-ToPRB-PDSCH* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 5-9 | Intra-slot frequency-hopping for PUSCH except for PUSCH scheduled by Type 1 CSS before RRC connection | Intra-slot frequency-hopping for PUSCH except for PUSCH scheduled by Type 1 CSS before RRC connection |  | *intraSlotFreqHopping-PUSCH* | *Phy-ParametersFRX-Diff* | No | Yes |  | Mandatory with capability signalling |
| 5-10 | Inter-slot frequency hopping for PUSCH | Inter-slot frequency hopping for PUSCH |  | *interSlotFreqHopping-PUSCH* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-11 | Up to 2 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 2 unicast PDSCHs per slot per CC only in TDM is supported for Capability 11) PDSCH(s) for Msg. 4 is included |  | *pdsch-ProcessingType1-DifferentTB-PerSlot* | *FeatureSetDownlink* | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-11a | Up to 7 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 7 unicast PDSCHs per slot per CC only in TDM is supported for Capability 11) PDSCH(s) for Msg. 4 is included |  | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-11b | Up to 4 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 4 unicast PDSCHs per slot per CC only in TDM is supported for Capability 11) PDSCH(s) for Msg. 4 is included |  | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-12 | Up to 2 PUSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 2 unicast PUSCHs per slot per CC only in TDM is supported for Capability 1 |  | *pusch-ProcessingType1-DifferentTB-PerSlot* | *FeatureSetUplink* | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-12a | Up to 7 PUSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 7 unicast PUSCHs per slot per CC only in TDM is supported for Capability 1 |  | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-12b | Up to 4 PUSCHs per slot per CC for different TBs for UE processing time Capability 1 | Up to 4 unicast PUSCHs per slot per CC only in TDM is supported for Capability 1 |  | n/a | n/a | This capability is necessary for each SCS. | Optional with capability signalling |
| 5-13 | Up to 2 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 2 unicast PDSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X DL CCs, the UE may expect to be scheduled with up to 2 PDSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) No scheduling limitation3) N1 based on Table 5.3-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5a | *pdsch-ProcessingType2* | *FeatureSetDownlink* | n/a | n/a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-13a | Up to 7 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 7 unicast PDSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X DL CCs, the UE may expect to be scheduled with up to 7 PDSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) No scheduling limitation3) N1 based on Table 5.3-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5a | n/a | n//a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-13c | Up to 4 unicast PDSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 4 unicast PDSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X DL CCs, the UE may expect to be scheduled with up to 4 PDSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) No scheduling limitation3) N1 based on Table 5.3-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5a | n/a | n/a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-13d | Up to 2 PUSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 2 unicast PUSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X UL CCs, the UE may expect to be scheduled with up to 2 PUSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) N2 based on Table 6.4-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5c | *pusch-ProcessingType2* | *FeatureSetUplink* | n/a | n/a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-13e | Up to 7 PUSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 7 unicast PUSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X UL CCs, the UE may expect to be scheduled with up to 7 PUSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) N2 based on Table 6.4-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5c | n/a | n/a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-13f | Up to 4 PUSCHs per slot per CC for different TBs for UE processing time Capability 2 | Up to 4 unicast PUSCHs per slot per CC only in TDM is supported for Capability 2UE can report values 'X' and supports the following operation, only when all carriers are self-scheduled and all Capability #2 carriers in a band are of the same numerology- When configured with less than or equal to X UL CCs, the UE may expect to be scheduled with up to 4 PUSCHs per slot with Capability #2 on all of the configured serving cells for which processingType2Enabled is configured and set to enabled2) N2 based on Table 6.4-2 of TS 38.214 for given SCS from {15, 30, 60} kHz | 5-5c | n/a | n/a | This capability is necessary for each SCSMore than one set of per SCS per band reports can be signalled for a given band combination | Optional with capability signallingCandidate values for Component 1:X in {1, …, 16}, |
| 5-14 | Type 1 configured PUSCH repetitions over multiple slots | K = 2, 4, 8 times repetitions with RV sequences |  | *type1-PUSCH-RepetitionMultiSlots* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-16 | Type 2 configured PUSCH repetitions over multiple slots | K = 2, 4, 8 times repetitions with RV sequences |  | *type2-PUSCH-RepetitionMultiSlots* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-17 | PUSCH repetitions over multiple slots | K = 2, 4, 8 times repetitions |  | *pusch-RepetitionMultiSlots* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 5-17a | PDSCH repetitions over multiple slots | K = 2, 4, 8 times repetitions |  | *pdsch-RepetitionMultiSlots* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-18 | DL SPS | DL SPS |  | *downlinkSPS* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-19 | Type 1 Configured UL grant | K = 1 |  | *configuredUL-GrantType1* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-20 | Type 2 Configured UL grant | K = 1 |  | *configuredUL-GrantType2* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-21 | Pre-emption indication for DL | Pre-emption indication for DL |  | *pre-EmptIndication-DL* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-22 | CBG-based re-transmission for DL using CBGTI | CBG-based re-transmission for DL using CBGTI |  | *cbg-TransIndication-DL* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-23 | CBGFI for CBG-based re-transmission for DL | CBGFI for CBG-based re-transmission for DL | 5-22 | *cbg-FlushIndication-DL* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-24 | Dynamic HARQ-ACK codebook using sub-codebooks for CBG-based re-transmission for DL | Dynamic HARQ-ACK codebook using sub-codebooks for CBG-based re-transmission for DL |  | *dynamicHARQ-ACK-CodeB-CBG-Retx-DL* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-25 | CBG-based re-transmission for UL using CBGTI | CBG-based re-transmission for UL using CBGTI |  | *cbg-TransIndication-UL* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-26 | Semi-static rate-matching resource set configuration for DL | 1) Bitmap 1/2/32) controlResourceSet |  | *rateMatchingResrcSetSemi-Static* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 5-27 | Dynamic rate-matching resource set configuration for DL | Bitmap 1/2/3 |  | *rateMatchingResrcSetDynamic* | *Phy-ParametersCommon* | No | No |  | Optional with capability signalling |
| 5-27a | Dynamic rate-matching control resource set for DL | Dynamic rate-matching control resource set for DL |  | *rateMatchingCtrlResrcSetDynamic* | *Phy-ParametersCommon* | No | No |  | Mandatory with capability signalling |
| 5-28 | Rate-matching around LTE CRS | Rate-matching around LTE CRS |  | *rateMatchingLTE-CRS* | *BandNR* | n/a | n/a |  | Mandatory with capability signalling |
| 5-29 | LBRM for PUSCH | Limited buffer rate matching in UL |  | *pusch-LBRM* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 5-30 | DL scheduling slot offset greater than zero for PDSCH mapping type A | Support of DL scheduling slot offset (K0) greater than zero for PDSCH mapping type A |  | *dl-SchedulingOffset-PDSCH-TypeA* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Mandatory with capability signalling |
| 5-30a | DL scheduling slot offset greater than zero for PDSCH mapping type B | Support of DL scheduling slot offset (K0) greater than zero for PDSCH mapping type B |  | *dl-SchedulingOffset-PDSCH-TypeB* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Mandatory with capability signalling |
| 5-31 | UL scheduling slot offset greater than 12 | Support of UL scheduling slot offset (K2) greater than 12 |  | *ul-SchedulingOffset* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Mandatory with capability signalling |
| 5-32 | Separation of two unicast PDSCHs with a gap | For any two consecutive slots n and n+1, if there are more than 1 unicast PDSCH in either slot, the minimum time separation between starting time of any two unicast PDSCHs within the duration of these slots is 4 OFDM symbol for 30kHz and 7 OFDM symbol for 60kHz | 5-11, 5-11b, 5-13, or 5-13c | *pdsch-SeparationWithGap* | *FeatureSetDownlink-v1540* | No | No | This feature only applies to SCS 30kHz and 60kHz | Optional with capability signalling |
| 5-33 | Separation of two unicast PUSCHs with a gap | 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 2OFDM symbols for 15kHz, 4 OFDM symbols for 30kHz and 7 OFDM symbols for 60kHz | 5-12, 5-12b, 5-13d, or 5-13f | *pusch-SeparationWithGap* | *FeatureSetUplink-v1540* | No | No | This feature only applies to SCS 15kHz, 30kHz and 60kHz | Optional with capability signalling |
| 5-34 | New 64QAM MCS table for PDSCH | New 64QAM MCS table for PDSCH |  | *dl-64QAM-MCS-TableAlt* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 5-34a | New 64QAM MCS table for PUSCH | New 64QAM MCS tables for PUSCH with and without transform precoding respectively |  | *ul-64QAM-MCS-TableAlt* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 5-34b | Dynamic indication of MCS table with MCS-C-RNTI for PDSCH | Dynamic indication of MCS table using MCS-C-RNTI for PDSCH | 5-34 | *dl-MCS-TableAlt-DynamicIndication* | *FeatureSetDownlink-v1540* | n/a | n/a |  | Optional with capability signalling |
| 5-34c | Dynamic indication of MCS tables with MCS-C-RNTI for PUSCH | Dynamic indication of MCS tables using MCS-C-RNTI for PUSCH | 5-34a | *ul-MCS-TableAlt-DynamicIndication* | *FeatureSetUplink-v1540* | n/a | n/a |  | Optional with capability signalling |
| 6. CA/DC, BWP, SUL | 6-1 | Basic BWP operation with restriction | 1) 1 UE-specific RRC configured DL BWP per carrier2) 1 UE-specific RRC configured UL BWP per carrier3) RRC reconfiguration of any parameters related to BWP4) BW of a UE-specific RRC configured BWP includes BW of CORESET#0 (if CORESET#0 is present) and SSB for PCell/PSCell (if configured) and BW of the UE-specific RRC configured BWP includes SSB for SCell if there is SSB on SCell |  | n/a | n/a | n/a | n/a | This feature should be mandatory without capability signalling for at least BWPs which is the same as the set of specified channel BWUE-specific RRC configured DL/UL BWP can have the same or different numerology from the initial active DL/UL BWP | Mandatory without capability signalling |
| 6-1a | BWP operation without restriction on BW of BWP(s) | BW of UE-specific RRC configured BWP may not include BW of the CORESET#0 (if CORESET#0 is present) and SSB for PCell/PSCell (if configured) and BW of the UE-specific RRC configured BWP may not include SSB for SCell | 6-1, 6-2, 6-3, or 6-4 | *bwp-WithoutRestriction* | *BandNR* | n/a | n/a | 6-1a is applicable to 6-1, 6-2, 6-3, or 6-4. | Optional with capability signalling |
| 6-2 | Type A BWP adaptation with same numerology | 1) Up to 2 UE-specific RRC configured DL BWPs per carrier2) Up to 2 UE-specific RRC configured UL BWPs per carrier3) Active BWP switching by DCI and timer4) Same numerology for all the UE-specific RRC configured BWPs per carrier5) BW of a UE-specific RRC configured BWP includes BW of the CORESET#0 (if CORESET#0 is present) and SSB for PCell/PSCell (if configured) and BW of the UE-specific RRC configured BWP includes SSB for SCell if there is SSB on SCell | 6-1 | *upto2* in *bwp-SameNumerology* | *BandNR* | n/a | n/a |  | Optional with capability signalling |
| 6-3 | Type B BWP adaptation with same numerology | 1) Up to 4 UE-specific RRC configured DL BWPs per carrier2) Up to 4 UE-specific RRC configured UL BWPs per carrier3) Active BWP switching by DCI and timer4) Same numerology for all the UE-specific RRC configured BWPs per carrier5) BW of a UE-specific RRC configured BWP includes BW of the CORESET#0 (if CORESET#0 is present) and SSB for PCell/PSCell (if configured) and BW of the UE-specific RRC configured BWP includes SSB for SCell if there is SSB on SCell | 6-1 | *upto4* in *bwp-SameNumerology* | *BandNR* | n/a | n/a |  | Optional with capability signalling |
| 6-4 | BWP adaptation with different numerologies | 1) Up to 4 UE-specific RRC configured DL BWPs per carrier2) Up to 4 UE-specific RRC configured UL BWPs per carrier3) Active BWP switching by DCI and timer4) More than one numerologies for the UE-specific RRC configured BWPs per carrier5) Same numerology between DL and UL per cell except for SUL at a given time6) BW of a UE-specific RRC configured BWP includes BW of the CORESET#0 (if CORESET#0 is present) and SSB for PCell/PSCell (if configured) and BW of the UE-specific RRC configured BWP includes SSB for SCell if there is SSB on SCell | 6-1 | *upto4* in *bwp-DiffNumerology* | *BandNR* | n/a | n/a |  | Optional with capability signalling |
| 6-5 | Basic DL NR-NR CA operation | 1) Up to16 DL carriers 2) Same numerology across carrier for data/control channel at a given time |  | *supportedBandCombinationList* | *RF-Parameters* | n/a | n/a | This is conditioned on the support of DL CA band combination(s). | Optional with capability signalling |
| 6-5a | PDCCH blind detection capability for CA | 1) More than 4 DL CCs2) Reporting value is one of integer from 4 to 16 | 6-5 | *pdcch-BlindDetectionCA* | *Phy-ParametersFRX-Diff* | No | Yes | If UE supports CA with more than 4 DL CCs, UE should report this capability | {4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16} |
| 6-6 | Basic UL NR-NR CA operation | 1) Up to16 UL carriers 2) Same numerology across carrier for data/control channel at a given time3) One PUCCH group4) Single TAG | 6-5 | *supportedBandCombinationList* | *RF-Parameters* | n/a | n/a | This is conditioned on the support of UL CA band combination(s).The terminology 'carrier' in the components in this FG does not refer to 'SUL'. | Optional with capability signalling |
| 6-7 | Two NR PUCCH group with same numerology | 1) For NR CA UE, same numerology across NR carriers for data/control channel at a given time2) For EN-DC UE, same numerology across NR carriers for data/control channel at a given time, wherein an NR PUCCH group is configured in FR1 and another NR PUCCH group is configured in FR2 | 6-5, 6-6 | *twoPUCCH-Group* | *FeatureSetUplink* | n/a | n/a |  | Optional with capability signalling |
| 6-8 | Different numerology across NR PUCCH groups | For both NR CA UE and EN-DC UE, different numerology between two NR PUCCH groups for data/control channel at a given time | 6-5, 6-7 | *diffNumerologyAcrossPUCCH-Group* | *CA-ParametersNR* | n/a | n/a |  | Optional with capability signalling |
| 6-9 | Different numerologies across NR carriers within the same NR PUCCH group, with PUCCH on a carrier of smaller SCS | 1) For both NR CA UE, EN-DC/NE-DC UE and NR-DC UEs, same numerology between DL and UL per carrier for data/control channel at a given time2) For both NR CA UE and EN-DC/NE-DC UE with one NR PUCCH group, different numerologies across NR carriers within the same NR PUCCH groups up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is sent on the carrier with smaller SCS for data/control channel at a given time3-1) For NR CA UE with two NR PUCCH groups, different numerologies across NR carriers up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is sent on the carrier with smaller SCS for data/control channel at a given time3-2) For EN-DC/NE-DC UE with two NR PUCCH groups, different numerologies across NR carriers up to two different numerologies within an NR PUCCH group in FR1 wherein NR PUCCH is sent on the carrier with smaller SCS, and same numerology across NR carriers within another NR PUCCH group in FR2 for data/control channel at a given time4) For NR DC UE, different numerologies across NR carriers within the same NR PUCCH group in MCG (in FR1) and up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is sent on the carrier with smaller SCS for data/control channel at a given time; and same numerology across NR carriers in SCG (in FR2). | 6-5 | *diffNumerologyWithinPUCCH-GroupSmallerSCS* | *CA-ParametersNR* | n/a | n/a | The terminologies 'UL' and 'carrier' in this FG do not refer to 'SUL'. NR PUCCH is sent on a carrier with SCS not larger than SCS of any DL carriers corresponding to the NR PUCCH group.The case with PUCCH on UL carrier with different numerologies within SCG is not supported for NR-DC. | Optional with capability signalling |
| 6-9a | Different numerologies across NR carriers within the same NR PUCCH group, with PUCCH on a carrier of larger SCS | 1) For both NR CA UE, EN-DC/NE-DC UE and NR DC UEs, same numerology between DL and UL per carrier for data/control channel at a given time2) For both NR CA UE and EN-DC/NE-DC UE with one NR PUCCH group, different numerologies across NR carriers within the same NR PUCCH groups up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is on the carrier with larger SCS for data/control channel at a given time3-1) For NR CA UE with two NR PUCCH groups, different numerologies across NR carriers up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is sent on the carrier with larger SCS for data/control channel at a given time3-2) For EN-DC/NE-DC UE with two NR PUCCH groups, different numerologies across NR carriers up to two different numerologies within an NR PUCCH group in FR1 wherein NR PUCCH is sent on the carrier with larger SCS, and same numerology across NR carriers within another NR PUCCH group in FR2 for data/control channel at a given time4) For NR DC UE, different numerologies across NR carriers within the same NR PUCCH group in MCG (in FR1) and up to two different numerologies within the same NR PUCCH group wherein NR PUCCH is sent on the carrier with larger SCS for data/control channel at a given time; and same numerology across NR carriers in SCG (in FR2). | 6-5 | *diffNumerologyWithinPUCCH-GroupLargerSCS* | *CA-ParametersNR-v1560* | n/a | n/a | The terminologies 'UL' and 'carrier' in this FG do not refer to 'SUL'.NR PUCCH is sent on a carrier with SCS not smaller than SCS of any DL carriers corresponding to the NR PUCCH group.The case with PUCCH on UL carrier with different numerologies within SCG is not supported for NR-DC. | Optional with capability signalling |
| 6-10 | Cross carrier scheduling for the same numerology | Cross carrier scheduling for the same numerology with CIF where numerologies for scheduling cell and scheduled cell are same | 6-5, 6-6 | *crossCarrierScheduling-SameSCS* | *BandNR* | n/a | n/a |  |  |
| 6-10a | Cross carrier scheduling for different numerologies | Cross carrier scheduling for the different numerologies with CIF where numerologies for scheduling cell and scheduled cell are different | 6-10 | *crossCarrierScheduling-OtherSCS* | *FeatureSetDownlink**FeatureSetUplink* | n/a | n/a | This is not supported in Rel-15 |  |
| 6-11 | Number of supported TAGs | Need of multiple capability question about the resolution here |  | *supportedNumberTAG* | *CA-ParametersNR* | n/a | n/a | This feature group is applied to NR-NR CA and EN-DC. For EN-DC, the feature group indicates number of TAGs only for NR CG.The number of TAGs for the LTE MCG is signalled by existing LTE TAG capability signalling | {1, 2, 3, 4} |
| 6-12 | Support 2 simultaneous UL transmissions for problematic cases | Support 2 simultaneous UL transmissions for problematic cases |  | *singleUL-Transmission* | *MRDC-Parameters* | n/a | n/a | This is a UE feature for LTE for a LTE/NR dual connectivity UE | Optional with capability signalling |
| 6-13 | Case 1 Single Tx UL LTE-NR DC | 1) Case 1: DL-reference UL/DL configuration defined for LTE-FDD-SCell in LTE-TDD-FDD CA with LTE-TDD-PCell2) HARQ subframe offset |  | *tdm-Pattern*NOTE: This capability bit also indicates support of the feature 8-2, i.e. Operation A with single UL Tx case 1. | *MRDC-Parameters* | Yes | Yes | This is a UE feature for LTE for a LTE/NR dual connectivity UE | Mandatory with capability signalling conditional on the UE not supporting simultaneous dual-Tx operation in the band combination; optional if the UE supports simultaneous dual-Tx operation in the band combination |
| 6-16 | Supplemental uplink | 1) RACH, PUSCH, PUCCH, SRS operations in a band combination including SUL2) Supplemental uplink with same numerology between SUL and non SUL carriers | 6-15 | *supportedBandCombinationList* | *RF-Parameters* | n/a | n/a | This is conditioned on the support of SUL band combination(s). | Optional with capability signalling |
| 6-17 | Supplemental uplink with different numerologies between SUL and non SUL carriers | Different numerologies between SUL and non SUL | 6-16 | *supportedBandCombinationList* | *RF-Parameters* | n/a | n/a | This is conditioned on the support of SUL band combination(s). | Mandatory with capability signalling |
| 6-18 | Supplemental uplink with dynamic switch | DCI based selection of PUSCH carrier | 6-16 | *dynamicSwitchSUL* | *FeatureSetUplink* | n/a | n/a | his is conditioned on the support of SUL band combination(s). | Optional with capability signalling |
| 6-19 | Simultaneous transmission of SRS on an SUL/non-SUL carrier and PUSCH/PUCCH/SRS on the other UL carrier in the same cell | Simultaneous transmission of SRS on an SUL/non-SUL carrier and PUSCH/PUCCH/SRS on the other UL carrier in the same cell | 6-16 | *simultaneousTxSUL-NonSUL* | *FeatureSetUplink* | n/a | n/a |  | Optional with capability signalling |
| 6-21 | DL search space sharing for CA | DL search space sharing for CA | 6-10 or 6-10a | *searchSpaceSharingCA-DL* | *FeatureSetDownlink* | n/a | n/a |  | Optional with capability signalling |
| 6-22 | UL search space sharing for CA | UL search space sharing for CA | 6-10 or 6-10a | *searchSpaceSharingCA-UL* | *FeatureSetUplink* | n/a | n/a |  | Optional with capability signalling |
| 6-23 | 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 | 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 |  | *pa-PhaseDiscontinuityImpacts* | *FeatureSetUplink-v1540* | n/a | n/a | See LS (R1-1809992) | Optional with capability signalling |
| 6-24 | Applying the same UL timing between NR and LTE | Applying the same UL timing between NR and LTE for dynamic power sharing capable UE operating in intra-band contiguous synchronous EN-DC | 8-1 | *ul-TimingAlignmentEUTRA-NR* | *MRDC-Parameters* | n/a | n/a | UEs that set this bit to 0 should be able to operate with a timing difference up to applicable MTTD requirements when operating in a synchronous intra-band contiguous EN-DC network. | Optional with capability signalling |
| 6-25 | Support of synchronous NR-NR DC operation only wherein MCG is only in FR1 and SCG is only in FR2 | Support of synchronous NR-NR DC operation only wherein MCG is only in FR1 and SCG is only in FR2 |  | *ca-ParametersNRDC* | *BandCombination-v1560* | n/a | n/a | This is conditioned on the support of DC band combination(s).UE reports a set of supported band partitionings corresponding to MCG in FR1 and to SCG in FR2. | Optional with capability signalling |
| 6-25a | PDCCH blind detection capability for MCG and for SCG in synchronous NR-NR DC | RRC parameters *pdcch-BlindDetectionMCG-UE* and *pdcch-BlindDetectionSCG-UE* for optional new UE capability signalling that informs the maximum values for *pdcch-BlindDetectionMCG* and *pdcch-BlindDetectionSCG*, respectively | 6-5, 6-25 | *pdcch-BlindDetectionMCG-UE**pdcch-BlindDetectionSCG-UE* | *Phy-ParametersFRX-Diff* | No | Yes | *pdcch-BlindDetectionMCG-UE* and *pdcch-BlindDetectionSCG-UE* are per UE capability signalling.The value range of *pdcch-BlindDetectionMCG-UE* and *pdcch-BlindDetectionSCG-UE* is - [1, …, *pdcch-BlindDetectionCA*-1] and *pdcch-BlindDetectionMCG-UE* + *pdcch-BlindDetectionSCG-UE* >= *pdcch-BlindDetectionCA* if the UE reports *pdcch-BlindDetectionCA*, and- [1, 2, 3] and *pdcch-BlindDetectionMCG-UE* + *pdcch-BlindDetectionSCG-UE* >= the maximum number of DL serving cells over CGs that UE can support if the UE does not report *pdcch-BlindDetectionCA*.If the UE does not report *pdcch-BlindDetectionMCG-UE* and *pdcch-BlindDetectionSCG-UE*, - *pdcch-BlindDetectionCA* for NR-CA is re-used as the UE capability signalling for NR-DC to determine BD/CCE limit across serving cells over CGs if the UE reports *pdcch-BlindDetectionCA*, and - the number of configured DL serving cells over CGs is used to determine BD/CCE limit across serving cells over CGs if the UE does not report *pdcch-BlindDetectionCA*.If the UE reports *pdcch-BlindDetectionMCG-UE* or *pdcch-BlindDetectionSCG-UE*, both of them are reported (i.e., not either of them). | Optional with capability signalling |
| 7. Channel coding | 7-1 | Channel coding | 1) LDPC encoding and associated functions for data on DL and UL2) Polar encoding and associated functions for PBCH, DCI, and UCI3) Coding for very small blocks |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 8. UL TPC | 8-1 | Dynamic power sharing for LTE-NR DC | When total transmission power exceeds Pcmax, UE scales NR transmission power. | EN-DC | *dynamicPowerSharing* | *MRDC-Parameters* | n/a | n/a | RP-172833 | Mandatory with capability signalling |
| 8-2 | Operation A with single UL Tx case 1 | Operation A with single UL Tx case 1 | EN-DC | *tdm-Pattern*NOTE: This capability bit also indicates support of the feature 6-13, i.e. Case 1 Single Tx UL LTE-NR DC. | *MRDC-Parameters* | Yes | Yes | RP-172833 | Mandatory with capability signalling conditioned that UE does not support dynamic power sharing, i.e., UE indicate "0" as non-support for 8-1, optional for UEs supporting dynamic power sharing |
| 8-3 | Basic power control operation | 1) Accumulated power control mode for closed loop2) 1 TPC command loop for PUSCH, PUCCH respectively3) One or multiple DL RS configured for pathloss estimation4) One or multiple p0-alpha values configured for open loop PC5) PUSCH power control 6) PUCCH power control 7) PRACH power control8) SRS power control 9) PHR |  | n/a | n/a | No | No |  | Mandatory without capability signalling |
| 8-4 | TPC-PUSCH-RNTI | Specific group DCI message for TPC commands for PUSCH |  | *tpc-PUSCH-RNTI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 8-5 | TPC-PUCCH-RNTI | Specific group DCI message for TPC commands for PUCCH |  | *tpc-PUCCH-RNTI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 8-6 | TPC-SRS-RNTI | Specific group DCI message for TPC commands for SRS |  | *tpc-SRS-RNTI* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 8-7 | Absolute TPC command mode | Absolute TPC command mode |  | *absoluteTPC-Command* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling |
| 8-8 | UL power control with 2 PUSCH closed loops | Two different TPC loops |  | *twoDifferentTPC-Loop-PUSCH* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Mandatory with capability signalling |
| 8-9 | UL power control with 2 PUCCH closed loops | Two different TPC loops |  | *twoDifferentTPC-Loop-PUCCH* | *Phy-ParametersXDD-Diff**Phy-ParametersFRX-Diff* | Yes | Yes |  | Mandatory with capability signalling |

## 4.2 Layer-2 and Layer-3 features

Table 4.2-1 provides the list of Layer-2 and Layer-3 features, as shown in [4] and the corresponding UE capability field name, as specified in TS 38.331 [2].

Table 4.2-1: Layer-2 and Layer-3 feature list

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Features | Index | Feature group | Components | Prerequisite feature groups | Field name in TS 38.331 [2] | Parent IE in TS 38.331 [2] | Need of FDD/TDD differentiation | Need of FR1/FR2 differentiation | Note | Mandatory/Optional |
| 0. General (including supported bearer types) | 0-0 | Basic EN-DC procedures | 1) MCG DRB with LTE/NR PDCP2) SCG DRB with NR PDCP3) SN addition, modification, and release via RRC connection reconfiguration4) Joint processing on the combined RRC messages5) Failure handling (including both MN and SN) |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-1 | Access stratum release | Access stratum release |  | *accessStratumRelease* | *UE-NR-Capability* | No | No |  | Optional with capability signalling and candidate value set is {Rel-15, spare7, … , spare1} |
| 0-2 | SRB | 1) Split SRB with one UL path2) SRB3 |  | 1) *splitSRB-WithOneUL-Path*2) *srb3* | *GeneralParametersMRDC-XDD-Diff* | No | No | 2) Not applied to NE-DC. | 1) Optional with capability signalling2) Mandatory with capability signalling |
| 0-3 | DRB | 1) Maximum number of DRBs2) Split DRB with one UL path 3) Split DRB with both UL MCG and SCG paths |  | 1), 2) n/a3) *splitDRB-withUL-Both-MCG-SCG* | 1), 2) n/a3) *GeneralParametersMRDC-XDD-Diff* | No | No | 2) 8 DRBs are supported regardless of bearer types | 1, 2) Mandatory without UE capability signalling3) Mandatory with capability signalling |
| 0-4 | Direct SN addition in the first RRC connection reconfiguration after RRC connection establishment | Direct SN addition in the first RRC connection reconfiguration after RRC connection establishment |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 0-5 | IMS voice | 1) IMS voice over NR2) Fallback HO to LTE for IMS voice3) 5GC VoLTE4) IMS voice over SCG bearer of NE-DC |  | 1) *voiceOverNR*3) *voiceOverEUTRA-5GC*4) *voiceOverSCG-BearerEUTRA-5GC* | 1) *IMS-ParametersFRX-Diff*3), 4) *IMS-ParametersCommon* | 1), 3), 4) No | 1) Yes3), 4) No | 1), 2), 3) SA only4): NE-DC only | 1) Mandatory with capability signalling if UE is IMS voice capable in NR SA. Otherwise optional with capability signalling.2) No need for a separate capability signalling.3) Optional with capability signalling4) Optional with capability signalling |
| 0-6 | Delay budget reporting | Delay budget reporting |  | *delayBudgetReporting* | *UE-NR-Capability-v1530* | No | No | SA only | Optional with capability signalling |
| 0-7 | PCell operation | 1) PCell operation on FR2 |  | *pCell-FR2* | *Phy-ParametersFR2* | No | No | SA only | Mandatory with capability signalling |
| 0-8 | Overheating  | 1) Overheating assistance information |  | *overheatingInd* | *UE-NR-Capability-v1540* | No | No | SA only | Optional with capability signalling |
| 0-9 | V2X | 1) Support of EUTRA V2X |  | *v2x-EUTRA* | *GeneralParametersMRDC-XDD-Diff* | Yes | No | Only applied to EN-DC | Optional with capability signalling |
| 1. PDCP | 1-0 | Basic PDCP procedures | 1) (de)Ciphering on DRB/SRB2) Integrity protection on SRB3) Timer based SDU discard4) Re-ordering and in-order delivery5) Status reporting6) Duplicate discarding7) 18bits SN |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 1-1 | ROHC context | 1) Maximum number of ROHC context sessions2) Supported ROHC profiles |  | 1) *maxNumberROHC-ContextSessions*2) *supportedROHC-Profiles* | *PDCP-Parameters* | No | No |  | Optional with capability signaling and candidate value set is: 1) {cs2, cs4, cs8, cs12, cs16, cs24, cs32, cs48, cs64, cs128, cs256, cs512, cs1024, cs16384, spare2, spare1}2) {0x0000, 0x0001, 0x0002, 0x0003, 0x0004, 0x0006, 0x0101, 0x0102, 0x0103, 0x0104} |
| 1-2 | ROHC context continuation operation | ROHC context continuation operation |  | *continueROHC-Context* | *PDCP-Parameters* | No | No |  | Optional with capability signalling |
| 1-3 | Uplink only ROHC profiles | Uplink only ROHC profiles |  | *uplinkOnlyROHC-Profiles* | *PDCP-Parameters* | No | No |  | Optional with capability signalling |
| 1-4 | Out of order delivery | Out of order delivery |  | *outOfOrderDelivery* | *PDCP-Parameters* | No | No |  | Optional with capability signalling |
| 1-5 | Short SN | Short SN |  | *shortSN* | *PDCP-Parameters* | No | No |  | Mandatory with capability signalling |
| 1-6 | PDCP duplication | 1) PDCP duplication for split SRB1/22) PDCP duplication for SRB1/2 and/or SRB33) PDCP duplication for MCG or SCG DRB4) PDCP duplication for split DRB |  | 1) *pdcp-DuplicationSplitSRB*2) *pdcp-DuplicationSRB*3) *pdcp-DuplicationMCG-OrSCG-DRB*4) *pdcp-DuplicationSplitDRB* | 1), 4) *PDCP-ParametersMRDC*2), 3) *PDCP-Parameters* | No | No |  | Optional with capability signalling |
| 1-7 | DRB IP data rate | 1) DRB IP data rate in DL2) DRB IP data rate in UL |  | n/a | n/a | n/a | n/a |  | Optional capability is signalled by NAS signalling defined in 24.501 |
| 2. RLC | 2-0 | Basic RLC procedures | 1) RLC TM2) RLC AM with 18bits SN\*3) SDU discard |  | n/a | n/a | n/a | n/a | No separate feature is considered for t-PollRetransmit, t-Reassembly and t-StatusProhibit | Mandatory without capability signalling |
| 2-1 | RLC AM with short SN | RLC AM with short SN |  | *am-WithShortSN* | *RLC-Parameters* | No | No |  | Mandatory with capability signalling |
| 2-2 | RLC UM with short SN | RLC UM with short SN |  | *um-WithShortSN* | *RLC-Parameters* | No | No |  | Mandatory with capability signalling |
| 2-3 | RLC UM with long SN | RLC UM with long SN |  | *um-WithLongSN* | *RLC-Parameters* | No | No |  | Mandatory with capability signalling |
| 2-4 | NR RLC SN size for SRB | NR RLC SN size for SRB |  | n/a | n/a | n/a | n/a |  | RAN2 decided only short RLC SN is used for SRB. |
| 3. MAC | 3-0 | Basic MAC procedures | 1) RA procedure on PCell or PSCell (in case of EN-DC)2) UE initiated RA procedure (including for beam recovery purpose)3) NW initiated RA procedure (i.e. based on PDCCH)4) Support of ssb-Threshold and association between preamble/PRACH occasion and SSB5) Preamble grouping6) UL single TA maintenance7) HARQ operation for DL and UL8) LCH prioritization9) Prioritized bit rate10) Multiplexing11) SR with single SR configuration12) BSR13) PHR14) 8bits and 16bits L field |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signallling |
| 3-1 | LCP restriction | 1) LCP restriction2) LCP restriction to SCell(s) |  | 1) *lcp-Restriction*2) *lch-ToSCellRestriction* | *MAC-ParametersCommon* | No | No |  | Optional with capability signalling |
| 3-2 | LCH SR delay timer | LCH SR delay timer |  | *logicalChannelSR-DelayTimer* | *MAC-ParametersXDD-Diff* | Yes | No |  | Optional with capability signalling |
| 3-3 | DRX | 1) DRX with long DRX cycle2) DRX with short DRX cycle |  | 1) *longDRX-Cycle*2) *shortDRX-Cycle* | *MAC-ParametersXDD-Diff* | Yes | No |  | Mandatory with capability signalling |
| 3-4 | Configured grants | Maximum number of configured grant configurations per cell group |  | *multipleConfiguredGrants* | *MAC-ParametersXDD-Diff* | Yes | No |  | Optional with capability signalling |
| 3-5 | SR | Multiple SR configurations |  | *multipleSR-Configurations* | *MAC-ParametersXDD-Diff* | Yes | No |  | Optional with capability signalling |
| 3-6 | Skipping UL transmission | 1) Skipping UL transmission for dynamic UL grant2) Skipping UL transmission for configured UL grant |  | 1) *skipUplinkTxDynamic* | *MAC-ParametersXDD-Diff* | 1) Yes2) No | No |  | 1) Optional with capability signalling. Mandatory with capability signalling from Rel-162) Conditional mandatory if the UE supports configured grant |
| 3-7 | Codec adaptation | 1) Bit rate recommendation message1) Bit rate recommendation query message |  | 1) *recommendedBitRate*2) *recommendedBitRateQuery* | *MAC-ParametersCommon* | No | No | SA only | Optional with capability signalling |
| 4. Measurements | 4-1 | Intra-NR measurements and reports | 1) Intra-frequency and inter-frequency measurements and reports2) Event A-based measurement and measurement report |  | 1) *intraAndInterF-MeasAndReport*2) *eventA-MeasAndReport* | *MeasAndMobParametersXDD-Diff* | Yes | No |  | Mandatory with capability signalling when EN-DC is configured. Mandatory without capability signalling for NR SA. |
| 4-2 | Inter-NR measurement and reports while in LTE connected | 1) NR measurement and reports while in LTE connected2) Event B1-based measurement and reports while in LTE connected |  | n/a | n/a | n/a | n/a |  | Mandatory without capability signalling |
| 4-3 | SFTD measurements | 1) SFTD measurements between PCell and PSCell2) SFTD measurements between PCell and NR Cell |  | 1) *sftd-MeasPSCell*2) *sftd-MeasNR-Cell* | *MeasAndMobParametersMRDC-XDD-Diff* | Yes | No |  | Optional with capability signalling |
| 4-4 | Measurement gaps | Additional measurement gap configurations |  | *supportedGapPattern* | *MeasAndMobParametersCommon* | No | No |  | Optional with capability signalling and candidate value set is: BIT STRING (SIZE (22)) |
| 4-5 | ANR | 1) CGI reporting of EUTRA cell when EN-DC is not configured2) CGI reporting of NR cell when EN-DC is not configured3) CGI reporting of NR cell when EN-DC is configured |  | 1) *eutra-CGI-Reporting*2) *nr-CGI-Reporting*3) *nr-CGI-Reporting-ENDC* | *MeasAndMobParametersCommon* | No | No | 1) and 2) SA only3) EN-DC onlyAutonomous gap is not supported when ANR (towards NR neighbour cells) configured by NR PCell in NR SA and when ANR (towards NR neighbouring cells) configured by NR PSCell in EN-DC. | Mandatory with capability signalling |
| 4-6 | LTE measurement and reporting while in NR connected | 1) Periodic measurement and reporting while NR connected.2) Event B#N-based measurement and reporting while NR connected |  | 1) *periodicEUTRA-MeasAndReport*2) *eventB-MeasAndReport* | *MeasAndMobParametersCommon* | No | No |  | Mandatory with capability signalling if the UE supports LTE |
| 5. SDAP | 5-1 | QoS | 1) Flow-based QoS2) Multiple flows to 1 DRB mapping3) AS reflective QoS |  | 3) *as-ReflectiveQoS* | *SDAP-Parameters* | No | No | SA only | 1), 2) Mandatory without capability signalling3) Optional with capability signalling |
| 5-2 | HD format | 1) DL SDAP HD2) UL SDAP HD3) SDAP End-marker |  | n/a | n/a | n/a | n/a | SA only | 1) Conditional mandatory if either NAS reflective QoS or AS reflective QoS is supported. No capability signalling is needed.2), 3) Mandatory without capability signalling |
| 6. Inactive | 6-1 | RRC inactive | RRC inactive |  | *inactiveState* | *UE-NR-Capability-v1530* | No | No | SA only | Mandatory with capability signalling |
| 7. Mobility | 7-1 | Handover | 1) Intra-frequency HO2) Inter-frequency HO3) HO between TDD and FDD4) HO from NR to LTE5) HO from NR to LTE with 5GC6) HO between FR1 and FR2 |  | 2) *handoverInterF*3) *handoverFDD-TDD*4) *handoverLTE-EPC*5) *handover-LTE-5GC*6) *handoverFR1-FR2* | 3), 6) *MeasAndMobParametersCommon*2), 4), 5) *MeasAndMobParametersXDD-Diff* and *MeasAndMobParametersFRX-Diff* | 1), 3), 6) No2), 4), 5) Yes | 1), 3), 6) No2), 4), 5) Yes | SA only | 1) Mandatory without capability signalling2) Mandatory with capability signalling3) Mandatory with capability signalling if the UE supports both TDD and FDD.4) and 5) Mandatory with capability signalling if the UE supports the associated RAT.6) Mandatory with capability signalling if the UE supports both FR1 and FR2. |
| 8. Idle/inactive UE procedures | 8-1 | System information acquisition | 1) Msg.1 based on-demand SI provisioning2) Msg.3 based on-demand SI provisioning |  | n/a | n/a | n/a | n/a | SA only | Mandatory without capability signalling |
| 9. RRC | 9-1 | RRC buffer size | Maximum overall RRC configuration size |  | n/a | n/a | n/a | n/a |  | 45 Kbytes |
| 9-2 | RRC processing time | 1) RRC connection establishment2) RRC connection resume without SCell addition/release and SCG establishment/modification/release3) RRC connection reconfiguration without SCell addition/release and SCG establishment/modification/release4) RRC connection re-establishment.5) RRC connection reconfiguration with sync procedure6) RRC connection reconfiguration with SCell addition/release or SCG establishment/modification/release7) RRC connection resume8) Initial security activation9) Counter check10) UE capability transfer |  | n/a | n/a | n/a | n/a |  | 1) to 3) 10ms4) 10ms5): 10ms + additional delay (cell search time and synchronization) defined in TS 38.1336) and 7) 16ms7) 10 or 6ms(See details in 12, TS 38.331)8) and 9) 5ms10) 80ms |
| 10. Architecture options | 10-1 | NE-DC | Support of NE-DC |  | *ne-DC* | *EUTRA-ParametersCommon* | No | No | Only applied to NE-DC. Note for EN-DC, it is included in EUTRA side. | Optional with capability signalling |
| *ne- DC-BC* | *BandCombination-v1560* |
| 10-2 | NR-DC | Support of NR-DC |  | *ca-ParametersNRDC* | *BandCombination-v1560* | No | No |  | Optional with capability signalling |

## 4.3 RF and RRM features

Table 4.3-1 provides the list of RF and RRM features, as shown in [5] and the corresponding UE capability field name, as specified in TS 38.331 [2].

Table 4.3-1: RF and RRM feature list

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Features | Index | Feature group | Components | Prerequisite feature groups | Field name in TS 38.331 [2] | Parent IE in TS 38.331 [2] | Need of FDD/TDD differentiation | Need of FR1/FR2 differentiation | Note | Mandatory/Optional |
| 1. System parameter | 1-1 | 60kHz of subcarrier spacing for FR1 | 60kHz subcarrier spacing for data channel in FR1 |  | *scs-60kHz* | *Phy-ParametersFR1* | No | Applicable only to FR1 |  | Optional with capability signalling |
| 1-2 | 64QAM modulation for FR2 PDSCH | 64QAM modulation for FR2 PDSCH |  | n/a | n/a | No | Applicable only to FR2 | Capability can be discussed in future, e.g. when low cost device (e.g. IoT) and/or higher frequency band in FR2 are introduced | Mandatory without capability signalling |
| 1-3 | 64QAM for PUSCH | 64QAM for PUSCH |  | n/a | n/a | No | No | Capability can be discussed in future, e.g. when low cost device (e.g. IoT) and/or higher frequency band in FR2 are introduced | Mandatory without capability signalling |
| 1-4 | 256QAM for PDSCH | 256QAM for PDSCH |  | *pdsch-256QAM-FR1* | *Phy-ParametersFR1* | No | Yes | For FR1, it can be revisited in the future whether the 256QAM is mandated in all UE types or categories | Mandatory with capability signalling for FR1 |
| *pdsch-256QAM-FR2* | *BandNR* | For FR2, RAN4 agreed that no BS and UE requirements will be introduced in Rel.15. | Optional with capability signalling for FR2 |
| 1-5 | 256QAM for PUSCH | 256QAM for PUSCH |  | *pusch-256QAM* | *BandNR* | No | Yes | For FR1, RAN4 can further discuss to mandate 256QAM for PUSCH for FR1 in future release.For FR2, RAN4 agreed that no BS and UE requirements will be introduced in Rel.15. | Optional with capability signalling (for both FR1 and FR2) |
| 1-6 | pi/2-BPSK for PUSCH | pi/2-BPSK for PUSCH |  | *pusch-HalfPi-BPSK* | *Phy-ParametersFRX-Diff* | No | Yes | RAN4 will define the same minimum requirements for pulse-shaped pi/2 BPSK and non-pulse shaped pi/2 BPSK for FR2. | Optional with capability signalling for FR1Mandatory with capability signalling for FR2 |
| 1-7 | pi/2-BPSK for PUCCH format 3/4 | pi/2-BPSK for PUCCH format 3/4 |  | *pucch-F3-4-HalfPi-BPSK* | *Phy-ParametersFRX-Diff* | No | Yes |  | Optional with capability signalling for FR1Mandatory with capability signalling for FR2 |
| 1-8 | Active BWP switching delay | Support of active BWP switching delay specified in TS38.133, candidate values set: {type1, type2} |  | *bwp-SwitchingDelay* | *Phy-ParametersCommon* | No | No | For this feature, RAN4 also sent another LS (R4-1803283).Network cannot configure the shorter delay for certain UE type. | Mandatory to support either type 1 or type 2 with capability signalling |
| 1-9 | Support of EN-DC with LTE-NR coexistence in UL sharing from UE perspective | 1) LTE and NR UL Transmission in the shared carrier via TDM only2) LTE and NR UL Transmission in the shared carrier via FDM only3) LTE and NR UL transmission in the shared carrier via FDM or TDM |  | *ul-SharingEUTRA-NR* | *MRDC-Parameters* | No | Applicable only to FR1 |  | Optional with capability signalling |
| 1-10 | Switching time between LTE UL and NR UL for EN-DC with LTE-NR coexistence in UL sharing from UE perspective | Support of switching type between LTE UL and NR UL for EN-DC with LTE-NR coexistence in UL sharing from UE perspective. Type 1: <0.5usType 2: <20us | 1-9 | *ul-SwitchingTimeEUTRA-NR* | *MRDC-Parameters* | No | Applicable only to FR1 | This feature is the switching time between LTE UL and NR UL in the same carrierPer band combination signallingUE Capability signalling elements. 1: <0.5us switching type.2: <20us switching type. | Mandatory to support either type 1 or type 2 with capability signalling if UE reports its capability in 1-10 as 1) LTE and NR UL Transmission in the shared carrier via TDM only, or 3) LTE and NR UL transmission in the shared carrier via FDM or TDM |
| 1-11 | 7.5kHz UL raster shift | 7.5kHz UL raster shift |  | n/a | n/a | No | No |  | Mandatory in the SUL bands with uplink sharing either from UE perspective or from network perspective7.5KHz raster shift as mandatory without capability signalling. 7.5kHz UL raster shift is mandatory for the bands described in clause 5.4.2.1 of Release 15 TS 38.101-1. RAN4 can revisit the above bands in the future release. 7.5KHz raster shift is not mandatory for other LTE refarming band except the bands which were agreed to support 7.5kHz UL raster shift as mandatory |
| 2. UE RF | 2-1 | Maximum channel bandwidth supported in each band for DL and UL separately and for each SCS that UE supports within a single CC | 1) FR1 channel bandwidths in TS38.101-1 Table 5.3.5-12) FR2 channel bandwidths in TS38.101-2 Table 5.3.5-1 |  | *channelBWs-DL**channelBWs-UL* | *BandNR* | No | No | UE capability signalling shall follow RP-172832 (Per-band capability signalling, separately for DL and UL and for each SCS)Whether a bandwidth newly introduced in future is mandatory for UE shall be discussed case by case. | For FR1, all the bandwidths listed in TS38.101-1 v15.0.0 Table 5.3.5-1 for each band shall be mandatory with a single CC. The bandwidths listed in the slide #3 of R4-1805985 are mandatory with a single CC. 90MHz is optional for n41, n77, n78.For FR2, the set of mandatory CBW is 50, 100, 200 MHz. |
| *supportedBandwidthDL**channelBW-90mhz* | *FeatureSetDownlinkPerCC* |
| *supportedBandwidthUL**channelBW-90mhz* | *FeatureSetUplinkPerCC* |
| 2-2 | Simultaneous reception or transmission with same or different numerologies in CA | Support of simultaneous reception or transmission with same or different numerologies in CA |  | *supportedSubcarrierSpacingDL* | *FeatureSetDownlinkPerCC* | No | No | From RAN4 perspective UE shall be able to signal the supported SCS per CC for each band combinationSame numerology for intra-band NR CA including both continuous and non-continuous is mandatory support for Rel15The capability of supporting SCS within the single carrier in the CA configuration will be signalled separately, i.e., there is no need to mandatory UE to support mixed numerologies in CA caseIf a UE supports inter-band NR CA including both FR1 band(s) and FR2 band(s), the UE shall support two mixed numerologies between FR1 band(s) and FR2 band(s) in DL and UL with capability signalling. | Same numerology for intra-band NR CA including both continuous and non-continuous is mandatory with capability in both FR1 and FR2. Two mixed numerologies between FR1 band(s) and FR2 band(s) in DL and UL are mandatory with capability if UE supports inter-band NR CA including both FR1 band(s) and FR2 band(s). Optional for other cases. |
| *supportedSubcarrierSpacingUL* | *FeatureSetUplinkPerCC* |
| 2-3 | Non-contiguous intra-band CA frequency separation class for FR2 | 1) Support of frequency separation classes to handle the total frequency span for DL for intra-band non-contiguous CA2) Support of frequency separation classes to handle the total frequency span for UL for intra-band non-contiguous CA |  | *intraBandFreqSeparationDL* | *FeatureSetDownlink* | No | Applicable only to FR2 | UE signals the supported Frequency separation classes with per band granularity (Type 1) based on R4-1803363Separate Frequency separation classes can be signalled for DL and UL | Mandatory to support a frequency separation class within {I, II, III} specified in TS38.101-2 with capability if UE supports non-contiguous CA in FR2 |
| *intraBandFreqSeparationUL* | *FeatureSetUplink* |
| 2-4 | Simultaneous reception and transmission for inter-band EN-DC (TDD-TDD or TDD-FDD) | Simultaneous reception and transmission for inter-band EN-DC (TDD-TDD or TDD-FDD) |  | *simultaneousRxTxInterBandENDC* | *MRDC-Parameters* | No | No | For TDD-FDD and TDD-TDD band combinations for which simultaneous RxTx capability is agreed to be supported, corresponding capability indication must be set to "supported".Band combinations for which simultaneous RxTx capability is mandatory EN-DC combinations (Both FR1 LTE – FR1 NR and FR1 LTE- FR2 NR) are captured in TS 38.101-3. | Mandatory/Optional support depends on band combination and captured in TS 38.101-3 |
| 2-5 | Simultaneous reception and transmission for inter band CA (TDD-TDD or TDD-FDD) | Simultaneous reception and transmission for inter band CA (TDD-TDD or TDD-FDD) |  | *simultaneousRxTxInterBandCA* | *CA-ParametersNR* | No | No | For TDD-FDD and TDD-TDD band combinations for which simultaneous RxTx capability is agreed to be supported, corresponding capability indication must be set to "supported".Band combinations for which simultaneous RxTx capability is mandatory are captured in TS 38.101-1, TS 38.101-2 and TS 38.101-3. | Mandatory/Optional support depends on band combination and captured in TS 38.101-1, TS 38.101-2 and TS 38.101-3 |
| 2-6 | Asynchronous FDD-FDD intra-band EN-DC DC | Asynchronous FDD-FDD intra-band EN-DC |  | *asyncIntraBandENDC* | *MRDC-Parameters* | Applicable only to FDD | Applicable only to FR1 |  | Optional with capability signalling |
| 2-7 | Almost contiguous UL CP-OFDM | Support of almost contiguous UL CP-OFDM transmissions |  | *almostContiguousCP-OFDM-UL* | *Phy-ParametersFRX-Diff* | No | Yes | RAN4 had defined the requirements for "Almost contiguous UL CP-OFDM" in Rel-15. | Optional with capability signalling |
| 2-8 | UE power class | 1) Support of FR1 UE power class2) Support of FR2 UE power class3) Support of FR1 UE power class for EN-DC4) Support of FR1 UE power class for NR-CA |  | *ue-PowerClass* | *BandNR* | No | No | Capability signalling- FR1 UE power class (per band)- FR2 UE power class (per band)- FR1 UE power class for EN-DC (per band combination)- FR1 UE power class for NR CA (per band combination)Default power class for each component is indicated in TS38.101-1/2/3. If the default power class is not indicated, UE shall report supported power class. The component 2) is also used as power class for intra-band NR-CA in FR2 | Mandatory to support at least one power class with capability. The capability signalling is absent if UE supports only default power class |
| *powerClass* | *BandCombination* |
| 2-9 | Simultaneous reception and transmission for SA SUL band combinations | Simultaneous reception and transmission for SA SUL band combinations |  | *simultaneousRxTxSUL* | *CA-ParametersNR* | No | No |  | Mandatory/Optional support depends on band combination and captured in TS 38.101-1 |
| 2-10 | Multiple frequency band indication | Multiple frequency band indication |  | n/a | n/a | No | No | Per UE capability | Mandatory without capability signalling |
| 2-11 | Modified MPR behaviour | Modified MPR behaviour |  | *modifiedMPR-Behaviour* | *BandNR* | No | No | Per band capability | Optional with capability signalling |
| 2-12 | Multiple NS/P-Max | Multiple NS/P-Max |  | n/a | n/a | No | No | Per UE capability | Mandatory without capability signalling |
| 2-13 | Maximum uplink duty cycle for FR1 power class 2 UE | Maximum percentage of uplink symbols can be scheduled within a certain evaluation period provided by regulatory bodies. The value range is {60%, 70%, 80%, 90%, 100%}. If the field is absent, 50% shall be applied. |  | *maxUplinkDutyCycle-PC2-FR1* | *BandNR* | No | Applicable only to FR1 | Per band capability.If this capability is absent and the percentage of uplink symbols transmitted in a certain evaluation period is larger than 50%, or this capability is not absent and the percentage of uplink symbols transmitted in a certain evaluation period is larger than this capability, apply all requirements for the default power class. The evaluation period is up to UE implementation, no less than one radio frame.UE do not need to do UL duty cycle calculation when it's transmit power is below 23dBm and all the UL/DL configurations can be scheduled. | Optional with capability signalling. The capability signalling is absent if UE supports 50% |
| 2-14 | Power boosting for Pi/2 BPSK for power class 3 UE | Power boosting for Pi/2 BPSK for power class 3 UE in TDD bands n40, n77, n78 and n79 with duty cycle less than 40% | 1-6, 1-7 | *powerBoosting-pi2BPSK* | *BandNR* | Applicable only to TDD | Applicable only to FR1 | Per band capability | Optional with capability signalling |
| 2-15 | Maximum uplink duty cycle for FR2 | 1) Maximum percentage of uplink transmission time that can be scheduled within 1s time window in order to ensure compliance with applicable electromagnetic power density exposure requirements provided by regulatory bodies. The value range is {15%, 20%, 25%, 30%, 40%, 50%, 60%, 70%, 80%, 90%, 100%}. |  | *maxUplinkDutyCycle-FR2* | *BandNR* | No | Applicable only to FR2 | Per band capability.If the field of UE capability is present and the percentage of uplink symbols transmitted within any 1 s evaluation period is larger than this capability, the UE follows the uplink scheduling and can apply P-MPR as in TS38.101-2. If the field of UE capability is absent, the compliance to electromagnetic power density exposure requirements are ensured by means of scaling down the power density or by other means.This capability is applicable for all power classes in FR2 | Optional with capability signalling |
| 2-16 | PA architectures for intra-band EN-DC | Support of dual PA |  | *dualPA-Architecture* | *MRDC-Parameters* | No | No | Per band per band combination capabilitySingle PA is default architectureThe following requirements are involved by this capability- A-MPR/MPR and MSD values for dual uplink. Whether two sets of requirements will be introduced in RAN4 can be further discussed for each specific band combination- Switching time between LTE UL and NR UL in single switched UL operation mode for intra-band EN-DC | Mandatory to support either single or dual PA architectures with capability if UE supports intra-band EN-DC configuration in uplink. The capability signalling is absent if UE supports single PA architecture. |
| 2-17 | PA architectures for intra-band UL CA | Support of dual PA |  | *dualPA-Architecture* | *CA-ParametersNR-v1540* | No | No | Per band per band combination capabilitySingle PA is default architectureThe following requirements are involved by this capability- A-MPR/MPR and MSD values for dual uplink. Whether two sets of requirements will be introduced in RAN4 can be further discussed for each specific band combination | Mandatory to support either single or dual PA architectures with capability if UE supports intra-band CA configuration in uplink. The capability signalling is absent if UE supports single PA architecture |
| 3. Baseband | 3-1 | Independent measurement gap configurations for FR1 and FR2 | Measurement gaps for FR1 and FR2 are configured independently. |  | *independentGapConfig* | *MeasAndMobParametersMRDC-Common* | No | No |  | Optional with capability signalling |
| 3-2 | Simultaneous reception of data and SS block with different numerologies when UE conducts the serving cell measurement or intra-frequency measurement | Simultaneous reception of data and SS block with different numerologies when UE conducts the serving cell measurement or intra-frequency measurement |  | *simultaneousRxDataSSB-DiffNumerology* | *MeasAndMobParametersFRX-Diff**MeasAndMobParametersMRDC-FRX-Diff* | No | Yes |  | Optional with capability signalling |
| 3-3 | Short measurement gap | Measurement gap patterns with short MGL (gap pattern#2, 3, 6, 7, 8, 10) are supported for E-UTRAN measurement. Gap patterns #6, 7, 8, 10 only apply to E-UTRAN measurement when MO includes both E-UTRAN and NR. |  | *supportedGapPattern* | *MeasAndMobParametersCommon* | No | No | Per UE capabilityThis capability is signalled as a part of *supportedGapPattern* in TS38.306. | Optional with capability signalling |
| 3-4 | SU-MIMO Interference Mitigation advanced receiver | 1) R-ML (reduced complexity ML) receivers with enhanced inter-stream interference suppression for SU-MIMO transmissions with rank 2 with 2 RX antennas.2) R-ML (reduced complexity ML) receivers with enhanced inter-stream interference suppression for SU-MIMO transmissions with rank 2, 3, and 4 with 4 RX antennas. |  | n/a | n/a | No | No | UE supporting the feature is required to meet the Enhanced Receiver Type requirements in TS 38.101-4 | Optional without capability signalling |

Annex A (informative):
Change history

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| **Change history** |
| **Date** | **Meeting** | **TDoc** | **CR** | **Rev** | **Cat** | **Subject/Comment** | **New version** |
| 2019-04 | RAN2 #105bis | R2-1904720 |  |  |  | Endorsed skeleton TR | 0.0.1 |
| 2019-05 | RAN2 #106 | R2-1905904 |  |  |  | TR update as the outcome of email discussion [105bis#11] before RAN2 #106 | 0.0.2 |
| 2019-05 | RAN2 #106 | R2-1908347 |  |  |  | TR update reflecting the latest L2/L3 feature list and capturing the handling of the TR after completion of Rel-15. | 0.0.3 |
| 2019-05 | RAN2 #106 | R2-1908456 |  |  |  | TR 38.822 v0.1.0 as endorsed at RAN2 #106 | 0.1.0 |
| 2019-05 | RAN2 #106 | R2-1908511 |  |  |  | TR update reflecting the latest RAN1/RAN4 feature lists | 0.1.1 |
| 2019-05 | RAN2 #106 | R2-1908512 |  |  |  | TR 38.822 v0.2.0 as agreed by RAN2 in email discussion [106#15] after RAN2 #106 | 0.2.0 |
| 2019-06 | RAN#84 | RP-191034 |  |  |  | Presentation to TSG-RAN for approval (no change in contents compared to v0.2.0) | 1.0.0 |
| 2019-06 | RAN#84 | RP-191445 |  |  |  | Presentation to TSG-RAN for approval reflecting updates during RAN #84 | 1.1.0 |
| 2019-06 | RAN#84 |  |  |  |  | TR put under change control and updated to Rel-15 | 15.0.0 |
| 2019-07 |  |  |  |  |  | MCC: changed the document type from TS to TR | 15.0.1 |