**3GPP TSG-RAN WG2 Meeting #114-e *R2-2104887***

**Electronic, 19 – 27 May 2021**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.306** | **CR** | 0541 | **rev** | **2** | **Current version:** | **16.4.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Miscellaneous corrections to Rel-16 UE capabilities | | | | | | | | | |
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| ***Source to WG:*** | Intel Corporation | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | LTE\_NR\_DC\_CA\_en, NR\_unlic-Core, NR\_L1enh\_URLLC-Core, NR\_pos-Core, TEI16 | | | | |  | ***Date:*** | | | 2021-05-10 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | 1. Missing prerequisite in the field description of bwp-SwitchingMultiCCs-r16 as highlighted in R4 9-1:  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | 9-1 | BWP switching on multiple CCs RRM requirements | Incremental delay for BWP switch processing on additional CCs in timer/DCI based simultaneous BWP switching on multiple CCs | RAN1 feature 6-2, 6-3, 6-4 specified in TR 38.822 | For component 2), the candidate values are:   * {100us, 200us} for UE indicates type1 in bwp-SwitchingDelay * {200us, 400us, 800us, 1000us} for UE indicates type 2 in bwp-SwitchingDelay   The total BWP switching delay will be captured in TS38.133  UE needs to indicate either of the candidate values in case it supports CA | Optional with capability signalling |   2. Editorial update on the following:   * In the description of extendedDiscardTimer-r16, extendedT-PollRetransmit-r16, extendedT-StatusProhibit-r16 the reference to TS 38.331 [2] needs to be corrected to [9]. * In the description of spatialRelationsSRS-Pos-r16 the entry in „FR1-FR2 DIFF“ should say „FR2 only“. As result, we wonder whether the sentence „It is only applicable for FR2,“ can be removed.   3. Table numbering in Section 4.2.15.1 are not set correctly.  4. The description of the conditionally mandatory feature “MAC subheaders with one-octet eLCID field” for UEs/IAB-MTs supporting MAC CEs using extended LCID values is missing  5. Multi-PUSCH UL grant should be considered as also applicable to frequency bands that do not require shared spectrum access, since it does not contain any restriction in each description in RAN1 feature list (R1-2102006)  6. In RAN1 feature list (R1-2102006), the following capabilities are only applies to shared spectrum channel access. However, in the field description of the corresponing capabilities, there lacks such restrictions.  For UE capability ***ssb-AndCSI-RS-RLM-r16***   |  |  |  | | --- | --- | --- | | 10-26e | RLM based on a mix of SS block and CSI-RS signals within active BWP for operation with shared spectrum channel access | RLM based on a mix of SS block and CSI-RS signals within active BWP for operation with shared spectrum channel access |   For UE capability ***pdsch-RepetitionMultiSlots-r16***   |  |  |  | | --- | --- | --- | | 10-40a | PDSCH repetitions over multiple slots for unlicensed spectrum | K = 2, 4, 8 times repetitions for unlicensed spectrum |   For UE capability ***sp-CSI-ReportPUSCH-r16***   |  |  |  | | --- | --- | --- | | 10-33a | Semi-persistent CSI report on PUSCH for unlicensed spectrum | Support semi-persistent CSI report on PUSCH for unlicensed spectrum | | | | | | | | | |
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| ***Summary of change:*** | | 1. Add the prerequisite to the bwp-SwitchingMultiCCs-r16 2. Editorial update on extendedDiscardTimer-r16, extendedT-PollRetransmit-r16, extendedT-StatusProhibit-r16 and spatialRelationsSRS-Pos-r16 as per the reason for change (2) 3. Update the table numbering in Section 4.2.15.1. 4. Include in clause 6 the conditionally mandatory feature “MAC subheaders with one-octet eLCID field. 5. Include ‘This capability is also applicable to a frequency band that does not require shared spectrum access.’ in the field description for multiPUSCH-UL-grant-r16. 6. Add clarifications that the capabilities for feature 10-2e, 10-40a and 10-33a are only applied to shared spectrum channel access.   **Impact analysis**  Impacted 5G architecture option:  NR-SA, (NG)EN-DC, NE-DC and NR-DC  Impacted functionality:  NR UE capabilities and features  Inter-operability:  For 1-5, there is no interoperability issue.  For 6:   * If the network is implemented according to the CR and the UE is not, the network may assume that the UE supports ssb-AndCSI-RS-RLM-r16 or pdsch-RepetitionMultiSlots-r16 or sp-CSI-ReportPUSCH-r16 for non-shared spectrum channel access, which could exceed the UE capabilities. * If the UE is implemented according to the CR and the network is not, there is no inter-operability issue forseen. | | | | | | | | |
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| ***Consequences if not approved:*** | | 1. For Change 1, UE may not include a value for bwp-SwitchingMultiCCs-r16 if it supports CA and network may not know which RRM requirements to use. 2. For Change 3, the description of feature “MAC subheaders with one-octet eLCID field” remains missing. 3. For Change 5, UE may not use multiPUSCH-UL-grant-r16 for licensed band 4. Network may assume that the UE supports ssb-AndCSI-RS-RLM-r16 or pdsch-RepetitionMultiSlots-r16 or sp-CSI-ReportPUSCH-r16 for non-shared spectrum channel access, which could exceed the UE capabilities. | | | | | | | | |
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| ***Clauses affected:*** | | 4.2.4, 4.2.5, 4.2.7.2, 4.2.7.2a, 4.2.7.10, 4.2.15.1, 6 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

*Start of changes*

### 4.2.4 PDCP Parameters

| Definitions for parameters | Per | M | FDD-TDD DIFF |
| --- | --- | --- | --- |
| ***continueEHC-Context-r16***  Indicates that the UE supports EHC context continuation operation where the UE keeps the established EHC context(s) upon PDCP re-establishment, as specified in TS 38.323 [16]. | UE | No | No |
| ***continueROHC-Context***  Defines whether the UE supports ROHC context continuation operation where the UE does not reset the current ROHC context upon PDCP re-establishment, as specified in TS 38.323 [16]. | UE | No | No |
| ***ehc-r16***  Indicates that the UE supports Ethernet header compression and decompression using EHC protocol, as specified in TS 38.323 [16]. The UE indicating this capability and indicating support for at least one ROHC profile, shall support simultaneous configuration of EHC and ROHC on different DRBs. | UE | No | No |
| ***extendedDiscardTimer-r16***  Indicates whether the UE supports the additional values of PDCP discard timer. The supported additional values are 0.5ms, 1ms, 2ms, 4ms, 6ms and 8ms, as specified in TS 38.331 [9]. | UE | No | No |
| ***jointEHC-ROHC-Config-r16***  Indicates whether the UE supports simultaneous configuration of EHC and ROHC protocols for the same DRB. | UE | No | No |
| ***maxNumberROHC-ContextSessions***  Defines the maximum number of ROHC header compression context sessions supported by the UE, excluding context sessions that leave all headers uncompressed. | UE | No | No |
| ***maxNumberEHC-Contexts-r16***  Defines the maximum number of Ethernet header compression contexts supported by the UE across all DRBs and across UE's EHC compressor and EHC decompressor. The indicated number defines the number of contexts in addition to CID = "all zeros" as specified in TS 38.323 [16]. | UE | No | No |
| ***outOfOrderDelivery***  Indicates whether UE supports out of order delivery of data to upper layers by PDCP. | UE | No | No |
| ***pdcp-DuplicationMCG-OrSCG-DRB***  Indicates whether the UE supports CA-based PDCP duplication over MCG or SCG DRB as specified in TS 38.323 [16]. | UE | No | No |
| ***pdcp-DuplicationMoreThanTwoRLC-r16***  Defines whether the UE supports PDCP duplication with more than two RLC entities as specified in TS 38.323 [16]. The UE supporting this feature supports secondary RLC entity(ies) activation and deactivation based on duplication RLC Activation/Deactivation MAC CE as specified in TS 38.321 [8]. A UE supporting this feature shall also support *pdcp-DuplicationMCG-OrSCG-DRB*, *pdcp-DuplicationSplitDRB*, *pdcp-DuplicationSplitSRB* and *pdcp-DuplicationSRB*. | UE | No | No |
| ***pdcp-DuplicationSplitDRB***  Indicates whether the UE supports PDCP duplication over split DRB as specified in TS 38.323 [16]. | UE | No | No |
| ***pdcp-DuplicationSplitSRB***  Indicates whether the UE supports PDCP duplication over split SRB1/2 as specified in TS 38.323 [16]. | UE | No | No |
| ***pdcp-DuplicationSRB***  Indicates whether the UE supports CA-based PDCP duplication over SRB1/2 and/or, if (NG)EN-DC is supported, SRB3 as specified in TS 38.323 [16]. | UE | No | No |
| ***shortSN***  Indicates whether the UE supports 12 bit length of PDCP sequence number. | UE | Yes | No |
| ***supportedROHC-Profiles***  Defines which ROHC profiles from the list below are supported by the UE:  - 0x0000 ROHC No compression (RFC 5795)  - 0x0001 ROHC RTP/UDP/IP (RFC 3095, RFC 4815)  - 0x0002 ROHC UDP/IP (RFC 3095, RFC 4815)  - 0x0003 ROHC ESP/IP (RFC 3095, RFC 4815)  - 0x0004 ROHC IP (RFC 3843, RFC 4815)  - 0x0006 ROHC TCP/IP (RFC 6846)  - 0x0101 ROHC RTP/UDP/IP (RFC 5225)  - 0x0102 ROHC UDP/IP (RFC 5225)  - 0x0103 ROHC ESP/IP (RFC 5225)  - 0x0104 ROHC IP (RFC 5225)  A UE that supports one or more of the listed ROHC profiles shall support ROHC profile 0x0000 ROHC uncompressed (RFC 5795).  An IMS voice capable UE shall indicate support of ROHC profiles 0x0000, 0x0001, 0x0002 and be able to compress and decompress headers of PDCP SDUs at a PDCP SDU rate corresponding to supported IMS voice codecs. | UE | No | No |
| ***uplinkOnlyROHC-Profiles***  Indicates the ROHC profile(s) that are supported in uplink-only ROHC operation by the UE.  - 0x0006 ROHC TCP (RFC 6846)  A UE that supports uplink-only ROHC profile(s) shall support ROHC profile 0x0000 ROHC uncompressed (RFC 5795). | UE | No | No |

### 4.2.5 RLC parameters

| Definitions for parameters | Per | M | FDD-TDD DIFF |
| --- | --- | --- | --- |
| ***am-WithShortSN***  Indicates whether the UE supports AM DRB with 12 bit length of RLC sequence number. | UE | Yes | No |
| ***extendedT-PollRetransmit-r16***  Indicates whether the UE supports the additional values of *T-PollRetransmit timer*. The supported additional values are 1ms, 2ms, 3ms and 4ms, as specified in TS 38.331 [9]. | UE | No | No |
| ***extendedT-StatusProhibit-r16***  Indicates whether the UE supports the additional values of *T-StatusProhibit timer*. The supported additional values are 1ms, 2ms, 3ms and 4ms, as specified in TS 38.331 [9]. | UE | No | No |
| ***um-WithLongSN***  Indicates whether the UE supports UM DRB with 12 bit length of RLC sequence number. | UE | Yes | No |
| ***um-WithShortSN***  Indicates whether the UE supports UM DRB with 6 bit length of RLC sequence number. | UE | Yes | No |

*Next change*

#### 4.2.7.2 *BandNR parameters*

**<<table entries omitted>>**

| ***spatialRelationsSRS-Pos-r16***  Indicates whether the UE supports spatial relations for SRS for positioning. The capability signalling comprises the following parameters.  - *spatialRelation-SRS-PosBasedOnSSB-Serving-r16* indicates whether the UE supports spatial relation for SRS for positioning based on SSB from the serving cell in the same band. The UE can include this field only if the UE supports *srs-PosResources-r16*. Otherwise, the UE does not include this field;  - *spatialRelation-SRS-PosBasedOnCSI-RS-Serving-r16* indicates whether the UE supports spatial relation for SRS for positioning based on CSI-RS from the serving cell in the same band. The UE can include this field only if the UE supports *spatialRelation-SRS-PosBasedOnSSB-Serving-r16*. Otherwise, the UE does not include this field;  - *spatialRelation-SRS-PosBasedOnPRS-Serving-r16* indicates whether the UE supports spatial relation for SRS for positioning based on PRS from the serving cell in the same band. The UE can include this field only if the UE supports any of DL PRS Resources for DL AoD, DL PRS Resources for DL-TDOA or DL PRS Resources for Multi-RTT defined in TS37.355 [22], or *srs-PosResources-r16*. Otherwise, the UE does not include this field;  - *spatialRelation-SRS-PosBasedOnSRS-r16* indicates whether the UE supports spatial relation for SRS for positioning based on SRS in the same band. The UE can include this field only if the UE supports *srs-PosResources-r16*. Otherwise, the UE does not include this field;  - *spatialRelation-SRS-PosBasedOnSSB-Neigh-r16* indicates whether the UE supports spatial relation for SRS for positioning based on SSB from the neighbouring cell in the same band. The UE can include this field only if the UE supports *spatialRelation-SRS-PosBasedOnSSB-Serving-r16*. Otherwise, the UE does not include this field;  - *spatialRelation-SRS-PosBasedOnPRS-Neigh-r16* indicates whether the UE supports spatial relation for SRS for positioning based on PRS from the neighbouring cell in the same band. The UE can include this field only if the UE supports *spatialRelation-SRS-PosBasedOnPRS-Serving-r16*. Otherwise, the UE does not include this field; | Band | No | N/A | FR2 only |
| --- | --- | --- | --- | --- |

**<<table entries omitted>>**

#### 4.2.7.2a *SharedSpectrumChAccessParamsPerBand*

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| --- | --- | --- | --- | --- |
| Definitions for parameters | Per | M | FDD-TDD DIFF | FR1-FR2 DIFF |
| ***ul-DynamicChAccess-r16***  Indicates whether the UE supports UL channel access for dynamic channel access mode.  Support of this feature is mandatory if UE supports any of the deployment scenarios A.2, B, C, D and E in Annex B.3 of TS 38.300 [28] with dynamic channel access mode. | Band | CY | N/A | N/A |
| ***ul-Semi-StaticChAccess-r16***  Indicates whether the UE supports UL channel access for semi-static channel access mode.  Support of this feature is mandatory if UE supports any of the deployment scenarios A.2, B, C, D and E in Annex B.3 of TS 38.300 [28] with semi-static channel access mode. | Band | CY | N/A | N/A |
| ***ssb-RRM-DynamicChAccess-r16***  Indicates whether the UE supports SSB-based RRM for dynamic channel access mode.  Support of this feature is mandatory if UE supports any of the deployment scenarios A.1, A.2, B, C, D and E in Annex B.3 of TS 38.300 [28] with dynamic channel access mode. | Band | CY | N/A | N/A |
| ***ssb-RRM-Semi-StaticChAccess-r16***  Indicates whether the UE supports SSB-based RRM for semi-static channel access mode, when SMTC window is no longer than the fixed frame period.  Support of this feature is mandatory if UE supports any of the deployment scenarios A.1, A.2, B, C, D and E in Annex B.3 of TS 38.300 [28] with semi-static channel access mode. | Band | CY | N/A | N/A |
| ***mib-Acquisition-r16***  Indicates whether the UE supports acquiring MIB on an unlicensed cell for SpCell.  Support of this feature is mandatory if UE supports any of the deployment scenarios B, C, D and E in Annex B.3 of TS 38.300 [28]. | Band | CY | N/A | N/A |
| ***ssb-RLM-DynamicChAccess-r16***  Indicates whether the UE supports SSB-based RLM for dynamic channel access mode.  Support of this feature is mandatory if UE supports any of the deployment scenarios B, C, D and E in Annex B.3 of TS 38.300 [28] with dynamic channel access mode. | Band | CY | N/A | N/A |
| ***ssb-RLM-Semi-StaticChAccess-r16***  Indicates whether the UE supports SSB-based RLM for semi-static channel access mode, when discovery burst transmission window is no longer than the fixed frame period.  Support of this feature is mandatory if UE supports any of the deployment scenarios B, C, D and E in Annex B.3 of TS 38.300 [28] with semi-static channel access mode. | Band | CY | N/A | N/A |
| ***sib1-Acquisition-r16***  Indicates whether the UE supports acquiring SIB1 on an unlicensed cell for PCell.  Support of this feature is mandatory if UE supports any of the deployment scenarios C and D in Annex B.3 of TS 38.300 [28]. | Band | CY | N/A | N/A |
| ***extRA-ResponseWindow-r16***  Indicates whether the UE supports the configuration of maximum length of RAR window with a value larger than 10ms and up to 40ms by decoding of the 2 LSBs of SFN in the DCI format 1\_0 for 4-step RA type. Support of this feature is mandatory if the UE supports any of the deployment scenarios B, C, D and E in Annex B.3 of TS 38.300 [28]. | Band | CY | N/A | N/A |
| ***ssb-BFD-CBD-dynamicChannelAccess-r16***  Indicates whether the UE supports SSB based Beam Failure Detection and Candidate Beam Detection with NSSBQCL for dynamic channel access mode. | Band | No | N/A | N/A |
| ***ssb-BFD-CBD-semi-staticChannelAccess-r16***  Indicates whether the UE supports SSB based Beam Failure Detection and Candidate Beam Detection with NSSBQCL for semi-static channel access mode. | Band | No | N/A | N/A |
| ***csi-RS-BFD-CBD-r16***  Indicates whether the UE supports CSI-RS based Beam Failure Detection and Candidate Beam Detection for shared spectrum operation. | Band | No | N/A | N/A |
| ***ul-ChannelBW-SCell-10mhz-r16***  Indicates whether the UE supports 10 MHz of LBT bandwidth for an SCell. A UE that supports this feature shall also support *ul-DynamicChAccess-r16* or *ul-Semi-StaticChAccess-r16*. | Band | No | N/A | N/A |
| ***rssi-ChannelOccupancyReporting-r16***  Indicates whether the UE supports RSSI measurements and channel occupancy reporting. | Band | No | N/A | N/A |
| ***srs-StartAnyOFDM-Symbol-r16***  Indicates whether the UE supports transmitting SRS starting in all symbols (0 to 13) of a slot. This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***searchSpaceFreqMonitorLocation-r16***  Indicates the maximum number of frequency domain locations supported by the UE, for a search space set configuration with *freqMonitorLocations-r16*. | Band | No | N/A | N/A |
| ***coreset-RB-Offset-r16***  Indicates whether the UE supports CORESET configuration with *rb-Offset-r16*. This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***cgi-Acquisition-r16***  Indicates whether the UE supports acquisition of CGI information from a neighbouring NR unlicensed cell in an unlicensed carrier by reading SIB1 of the neighbouring unlicensed cell and reporting the acquired information to the network. | Band | No | N/A | N/A |
| ***configuredUL-Tx-r16***  Indicates whether the UE supports configuration of enableConfiguredUL-r16 and enable transmission of higher-layer configured UL (SRS, PUCCH, CG-PUSCH, etc) when SFI field in DCI 2\_0 is configured but DCI 2\_0 is not detected. | Band | No | N/A | N/A |
| ***prach-Wideband-r16***  Indicates whether the UE supports enhanced PRACH design for operation with shared spectrum channel access by adopting a single long ZC sequence, with ZC sequence = 1151 for 15 kHz and ZC sequence = 571 for 30 kHz. | Band | No | N/A | N/A |
| ***dci-AvailableRB-Set-r16***  Indicates whether the UE supports monitoring DCI 2\_0 to read available RB set indicator. | Band | No | N/A | N/A |
| ***dci-ChOccupancyDuration-r16***  Indicates whether the UE supports monitoring DCI 2\_0 to read COT duration. | Band | No | N/A | N/A |
| ***typeB-PDSCH-length-r16***  Indicates whether the UE supports 1. Type B PDSCH length {3, 5, 6, 8, 9, 10, 11, 12, 13} without DMRS shift due to CRS collision. This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***searchSpaceSetGroupSwitchingwithDCI-r16***  Indicates whether the UE supports switching between two groups of search space sets with DCI 2\_0 monitoring that comprises of the following functional components:  - Monitor DCI 2\_0 with a search space set switching field;  - Support switching the search space set group with PDCCH decoding in group 1;  - Support a timer to switch back to original search space set group;  - Monitor DCI 2\_0 for channel occupancy time and use the end of channel occupancy time to switch back to the original search space set group.  The UE can switch search space set groups for different cells independently, unless the UE supports *jointSearchSpaceGroupSwitchingAcrossCells-r16*. The UE supports search space set group switching capability-1: P=25/25/25 symbols for µ=0/1/2, unless the UE supports *searchSpaceSetGroupSwitchingcapability2-r16*. | Band | No | N/A | N/A |
| ***searchSpaceSetGroupSwitchingwithoutDCI-r16***  Indicates whether the UE supports switching between two groups of search space sets without DCI 2\_0 monitoring (i.e. implicit PDCCH decoding) that comprises of the following functional components:  - Support switching the search space set group with PDCCH decoding in group 1;  - Support a timer to switch back to original search space set group.  The UE can switch search space set groups for different cells independently, unless the UE supports *jointSearchSpaceGroupSwitchingAcrossCells-r16*. The UE supports search space set group switching capability-1: P=25/25/25 symbols for µ=0/1/2, unless the UE supports *searchSpaceSetGroupSwitchingcapability2-r16*. | Band | No | N/A | N/A |
| ***searchSpaceSetGroupSwitchingcapability2-r16***  Indicates whether the UE supports search space set group switching Capability-2: P=10/12/22 symbols for µ = 0/1/2 SCS. If the UE supports this feature, the UE needs to report *searchSpaceSetGroupSwitchingwithDCI-r16* or *searchSpaceSetGroupSwitchingwithoutDCI-r16*. | Band | No | N/A | N/A |
| ***non-numericalPDSCH-HARQ-timing-r16***  Indicates whether the UE supports configuration of a value for *dl-DataToUL-ACK-r16* indicating an inapplicable time to report HARQ ACK. | Band | No | N/A | N/A |
| ***enhancedDynamicHARQ-codebook-r16***  Indicates whether the UE supports enhanced dynamic HARQ codebook supporting grouping of HARQ ACK and triggering the retransmission of HARQ ACK in each group. The enhanced dynamic HARQ codebook comprises of the following functional components:  - Support of bit fields signalling PDSCH HARQ group index and NFI in DCI 1\_1 (configuration of nfi-TotalDAI-Included);  - Support of bit field in DCI 0\_1 for other group total DAI if configured. (configuration of ul-TotalDAI-Included);  - Support the retransmission of HARQ ACK (pdsch-HARQ-ACK-Codebook = enhancedDynamic-r16).  This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***oneShotHARQ-feedback-r16***  Indicates whether the UE supports one shot HARQ ACK feedback comprised of the following functional components:  - Support feedback of type 3 HARQ-ACK codebook, triggered by a DCI 1\_1 scheduling a PDSCH;  - Support feedback of type 3 HARQ-ACK codebook, triggered by a DCI 1\_1 without scheduling a PDSCH using a reserved FDRA value.  This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***multiPUSCH-UL-grant-r16***  Indicates whether the UE supports scheduling up to 8 PUSCH with a single DCI 0\_1. This capability is also applicable to a frequency band that does not require shared spectrum access. | Band | No | N/A | N/A |
| ***csi-RS-RLM-r16***  Indicates whether the UE supports CSI-RS based RLM for NR-Unlicensed. | Band | No | N/A | N/A |
| ***csi-RSRP-AndRSRQ-MeasWithSSB-r16***  Indicates whether the UE can perform CSI-RSRP and CSI-RSRQ measurement as specified in TS 38.215 [13], where CSI-RS resource is configured with an associated SS/PBCH in shared spectrum channel access. | Band | No | N/A | N/A |
| ***csi-RSRP-AndRSRQ-MeasWithoutSSB-r16***  Indicates whether the UE can perform CSI-RSRP and CSI-RSRQ measurement as specified in TS 38.215 [13], where CSI-RS resource is configured for a cell that transmits SS/PBCH block and without an associated SS/PBCH block in shared spectrum channel access. | Band | No | N/A | N/A |
| ***csi-SINR-Meas-r16***  Indicates whether the UE can perform CSI-SINR measurements based on configured CSI-RS resources as specified in TS 38.215 [13] in shared spectrum channel access. If the UE supports this feature, the UE needs to report *maxNumberCSI-RS-RRM-RS-SINR*. UE indicating support of this feature shall indicate support of *csi-RSRP-AndRSRQ-MeasWithSSB-r16.* | Band | No | N/A | N/A |
| ***ssb-AndCSI-RS-RLM-r16***  Indicates whether the UE can perform radio link monitoring procedure based on measurement of SS/PBCH block and CSI-RS as specified in TS 38.213 [11] and TS 38.133 [5] in shared spectrum channel access. If the UE supports this feature, the UE needs to report *maxNumberResource-CSI-RS-RLM*.  UE indicating support of this feature shall indicate support of*csi-RS-RLM-r16* and either *ssb-RLM-DynamicChAccess-r16* or *ssb-RLM-Semi-StaticChAccess-r16*. | Band | No | N/A | N/A |
| ***csi-RS-CFRA-ForHO-r16***  Indicates whether the UE can perform reconfiguration with sync using a contention free random access with 4-step RA type on PRACH resources that are associated with CSI-RS resources of the target cell in shared spectrum channel access.  UE indicating support of this feature shall indicate support of either *csi-RSRP-AndRSRQ-MeasWithSSB-r16* or *csi-RSRP-AndRSRQ-MeasWithoutSSB-r16.* | Band | No | N/A | N/A |
| ***periodicAndSemi-PersistentCSI-RS-r16***  indicates whether the UE supports validating P/SP-CSI-RS reception when receiving a DCI granting a PDSCH over the same set of symbols, and when receiving a DCI triggering an A-CSI-RS over the same set of symbols. | Band | No | N/A | N/A |
| ***pusch-PRB-interlace-r16***  Indicates whether the UE supports PRB interlace frequency domain resource allocation for PUSCH. | Band | No | N/A | N/A |
| ***pucch-F0-F1-PRB-Interlace-r16***  Indicates whether the UE supports PRB interlace frequency domain resource allocation for PUCCH format 0, 1, 2 and 3. | Band | No | N/A | N/A |
| ***occ-PRB-PF2-PF3-r16***  Indicates whether the UE supports OCC for PRB interface mapping for PUCCH format 2 and 3. If the UE supports this feature, the UE needs to report *pucch-F0-F1-PRB-Interlace-r16*. | Band | No | N/A | N/A |
| ***extCP-rangeCG-PUSCH-r16***  Indicates whether the UE supports generating a CP extension of length longer than 1 symbol for Configured Grant PUSCH transmission. If the UE supports this feature, the UE needs to report *configuredUL-GrantType1* and/or *configuredUL-GrantType2*. | Band | No | N/A | N/A |
| ***configuredGrantWithReTx-r16***  Indicates whether the UE supports configured grant with retransmission in configured grant resource, comprised of retransmission timer, DFI monitoring and CG-UCI in CG-PUSCH. If the UE supports this feature, the UE needs to report *configuredUL-GrantType1* and/or *configuredUL-GrantType2*. | Band | No | N/A | N/A |
| ***ed-Threshold-r16***  Indicates whether the UE supports using ED threshold given by gNB for UL to DL COT sharing. A UE that supports this feature shall also support *ul-DynamicChAccess-r16*. | Band | No | N/A | N/A |
| ***ul-DL-COT-Sharing-r16***  Indicates whether the UE supports UL to DL COT sharing. A UE that supports this feature shall also support *ul-DynamicChAccess-r16*. | Band | No | N/A | N/A |
| ***mux-CG-UCI-HARQ-ACK-r16***  Indicates whether the UE supports multiplexing CG-UCI with HARQ ACK. If the UE supports this feature, the UE needs to report *configuredGrantWithReTx-r16*. | Band | No | N/A | N/A |
| ***cg-resourceConfig-r16***  Indicates whether the UE supports configuration of resources with *cg-nrofSlots-r16* and *cg-nrofPUSCH-InSlot-r16*. If the UE supports this feature, the UE needs to report *configuredUL-GrantType1* and/or *configuredUL-GrantType2*. | Band | No | N/A | N/A |
| ***dl-ReceptionLBT-subsetRB-r16***  Indicates whether the UE supports reception in a wideband carrier when LBT is successful in a subset of the configured RB sets, which are either contiguous or non-contiguous, of the carrier. | Band | No | N/A | N/A |
| ***dl-ReceptionIntraCellGuardband-r16***  Indicates whether the UE supports reception in the non-zero intra-cell guardband between contiguous RB sets in DL wideband carrier operation wider than 20MHz when LBT is successful only in a subset of RB sets. The UE indicates support of this capability shall also indicates support of*dl-ReceptionLBT-subsetRB-r16****.*** | Band | No | N/A | N/A |

*Next change*

#### 4.2.7.10 *Phy-Parameters*

| Definitions for parameters | Per | M | FDD-TDD  DIFF | FR1-FR2  DIFF |
| --- | --- | --- | --- | --- |
| ***absoluteTPC-Command***  Indicates whether the UE supports absolute TPC command mode. | UE | No | No | Yes |
| ***aggregationFactorSPS-DL-r16***  Indicates whether the UE supports configurable PDSCH aggregation factor ({1, 2, 4, 8}) per DL SPS configuration. The UE can include this feature only if the UE indicates supports of *downlinkSPS*. | UE | No | No | Yes |
| ***almostContiguousCP-OFDM-UL***  Indicates whether the UE supports almost contiguous UL CP-OFDM transmissions as defined in clause 6.2 of TS 38.101-1 [2]. | UE | No | No | Yes |
| ***bwp-SwitchingDelay***  Defines whether the UE supports DCI and timer based active BWP switching delay type1 or type2 specified in clause 8.6.2 of TS 38.133 [5]. It is mandatory to report type 1 or type 2. This capability is not applicable to IAB-MT. | UE | Yes | No | No |
| ***bwp-SwitchingMultiCCs-r16***  Indicates whether the UE supports incremental delay for DCI and timer based active BWP switching on multiple CCs simultaneously as specified in TS 38.133 [5]. The capability signalling comprises of the following:  - *type1-r16* indicates the delay value for type 1 BWP switching delay and has values of {100us, 200us}  - *type2-r16* indicates the delay value for type 2 BWP switching delay and has values of {200us, 400us, 800us, 1000us}  The UE indicating support of this feature shall also support *bwp-SwitchingDelay*, *bwp-SameNumerology* and *bwp-DiffNumerology*. It is mandatory to report either type1-r16 or type2-r16 for a UE which supports CA. | UE | CY | No | No |
| ***bwp-SwitchingMultiDormancyCCs-r16***  Indicates whether the UE supports incremental delay for BWP switch processing on additional SCells in DCI based simultaneous dormant BWP switching on multiple SCells as specified in TS 38.133 [5]. The capability signalling comprises of the following:  - *type1-r16* indicates the delay value for type 1 BWP switching delay and has values of {100us, 200us}  - *type2-r16* indicates the delay value for type 2 BWP switching delay and has values of {200us, 400us, 800us, 1000us}  The UE indicating support of this feature shall also support *scellDormancyWithinActiveTime-r16* or *scellDormancyOutsideActiveTime-r16*. | UE | No | No | No |
| ***cbg-FlushIndication-DL***  Indicates whether the UE supports CBG-based (re)transmission for DL using CBG flushing out information (CBGFI) as specified in TS 38.214 [12]. | UE | No | No | No |
| ***cbg-TransIndication-DL***  Indicates whether the UE supports CBG-based (re)transmission for DL using CBG transmission information (CBGTI) as specified in TS 38.214 [12]. | UE | No | No | No |
| ***cbg-TransIndication-UL***  Indicates whether the UE supports both in-order and out-of-order CBG-based (re)transmission for UL using CBG transmission information (CBGTI) as specified in TS 38.214 [12]. | UE | No | No | No |

**<<Remaining table omitted>>**

*Next change*

#### 4.2.7.14 *Phy-ParametersSharedSpectrumChAccess*

**<<Remaining table omitted>>**

| ***pdsch-RepetitionMultiSlots-r16***  Indicates whether the UE supports receiving PDSCH scheduled by DCI format 1\_1 when configured with higher layer parameter *pdsch-AggregationFactor* > 1, as defined in 5.1.2.1 of TS 38.214 [12] in shared spectrum channel access. | UE | No | No | No |
| --- | --- | --- | --- | --- |
| ***pre-EmptIndication-DL-r16***  Indicates whether the UE supports interrupted transmission indication for PDSCH reception based on reception of DCI format 2\_1 as defined in TS 38.213 [11] in shared spectrum channel access. | UE | No | No | No |
| ***pusch-RepetitionMultiSlots-r16***  Indicates whether the UE supports transmitting PUSCH scheduled by DCI format 0\_1 when configured with higher layer parameter *pusch-AggregationFactor* > 1, as defined in clause 6.1.2.1 of TS 38.214 [12] in shared spectrum channel access.This feature is mandatory if UE supports any of the deployment scenarios A.2, B, C, D and E in Annex B.3 of TS 38.300 [28]. | UE | CY | No | No |
| ***pucch-Repetition-F1-3-4-r16***  Indicates whether the UE supports transmission of a PUCCH format 1 or 3 or 4 over multiple slots with the repetition factor 2, 4 or 8 in shared spectrum channel access. This feature is mandatory if UE supports any of the deployment scenarios A.2(whenever PUCCH is supported on shared spectrum channel access cell), B, C, D and E in Annex B.3 of TS 38.300 [28]. | UE | CY | No | No |
| ***sp-CSI-ReportPUCCH-r16***  Indicates whether UE supports semi-persistent CSI reporting using PUCCH formats 2, 3 and 4 in shared spectrum channel access. | UE | No | No | No |
| ***sp-CSI-ReportPUSCH-r16***  Indicates whether UE supports semi-persistent CSI reporting using PUSCH in shared spectrum channel access. | UE | No | No | No |
| ***ss-SINR-Meas-r16***  Indicates whether the UE can perform SS-SINR measurement in shared spectrum channel access as specified in TS 38.215 [13]. | UE | No | No | No |

**<<Remaining table omitted>>**

*Next change*

### 4.2.15 IAB Parameters

#### 4.2.15.1 Mandatory IAB-MT features

Table 4.2.15.1-1, Table 4.2.15.1-2 and Table 4.2.15.1-3 capture feature groups, which are mandatory for an IAB-MT. All other feature groups or components of the feature groups as captured in TR 38.822 [24] as well as capabilities specified in this specification are optional for an IAB-MT, unless indicated otherwise.

Table 4.2.15.1-1: Layer-1 mandatory features for IAB-MT

| Features | Index | Feature group | Components | Additional information |
| --- | --- | --- | --- | --- |
| 0. Waveform, modulation, subcarrier spacings, and CP | 0-1 | CP-OFDM waveform for DL and UL | 1) CP-OFDM for DL  2) CP -OFDM for UL |  |
| 0-3 | DL modulation scheme | 1) QPSK modulation  2) 16QAM modulation  3) 64QAM modulation for FR1 |  |
| 0-4 | UL modulation scheme | 1) QPSK modulation  2) 16QAM modulation |  |
| 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 | Only 1 preamble for component 1), component 2), component 3) except paging |
| 1-3 | SS block based RLM | SS-SINR measurement |  |
| 2. MIMO | 2-1 | Basic PDSCH reception | 1) Data RE mapping  2) Single layer transmission  3) Support one TCI state |  |
| 2-5 | Basic downlink DMRS  for 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. |  |
| 2-6 | Basic downlink DMRS  for scheduling type B | 1) Support 1 symbol FL DMRS without additional symbol(s)  2) Support 1 symbol FL DMRS and 1 additional DMRS symbol |  |
| 2-12 | Basic PUSCH transmission | Data RE mapping  Single layer (single Tx) transmission  Single port, single resource SRS transmission (SRS set use is configured as for codebook) |  |
| 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 |  |
| 2-16a | Basic uplink DMRS  for scheduling type B | 1) Support 1 symbol FL DMRS without additional symbol(s)  2) Support 1 symbol FL DMRS and 1 additional DMRS symbol |  |
| 2-22 | Aperiodic beam report | Support aperiodic report on PUSCH |  |
| 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 FR1  4) 8Tx codebook for FR1 when configured as wideband CSI report  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 |  |
| 2-50 | Basic TRS | 1) Support of TRS (mandatory)  2) All the periodicity are supported. |  |
| 2-52 | Basic SRS | 1) Support 1 port SRS transmission  2) Support periodic/aperiodic SRS transmission |  |
| 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 configuration  2) 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 BWP  This 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 slot  3) Monitoring DCI formats 0\_0, 1\_0, 0\_1, 1\_1  4) Number of PDCCH blind decodes per slot with a given SCS follows Case 1-1 table  5) Processing one unicast DCI scheduling DL and one unicast DCI scheduling UL per slot per scheduled CC for FDD |  |
| 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 group  6) HARQ-ACK transmission once per slot with its resource/timing determined by using the DCI  7)  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 slot  8) 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 on  9) Semi-static beta-offset configuration for HARQ-ACK  10) Single group of overlapping PUCCH/PUCCH and overlapping PUCCH/PUSCH s per slot per PUCCH cell group for control multiplexing |  |
| 4-10 | Dynamic HARQ-ACK codebook | Dynamic HARQ-ACK codebook |  |
| 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 interleaving  2) 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 symbols  3) TBS determination  4) Nominal UE processing time for N1 and N2 (Capability #1)  5) HARQ process operation with configurable number of DL HARQ processes of up to 16  6) Cell specific RRC configured UL/DL assignment for TDD  7) Dynamic UL/DL determination based on L1 scheduling DCI with/without cell specific RRC configured UL/DL assignment  9) In TDD support at most one switch point per slot for actual DL/UL transmission(s)  10) DL scheduling slot offset K0=0  12) UL scheduling slot offset K2<=12  For type 1 CSS without dedicated RRC configuration and for type 0, 0A, and 2 CSS, interleaving for VRB-to-PRB mapping for PDSCH |  |
| 6. CA/DC, BWP, SUL | 6-1 | Basic BWP operation with restriction | 1) 1 UE-specific RRC configured DL BWP per carrier  2) 1 UE-specific RRC configured UL BWP per carrier  3) RRC reconfiguration of any parameters related to BWP  4) 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 |  |
| 7. Channel coding | 7-1 | Channel coding | 1) LDPC encoding and associated functions for data on DL and UL  2) Polar encoding and associated functions for PBCH, DCI, and UCI  3) Coding for very small blocks |  |
| 8. UL TPC | 8-3 | Basic power control operation | 1) Accumulated power control mode for closed loop  2) 1 TPC command loop for PUSCH, PUCCH respectively  3) One or multiple DL RS configured for pathloss estimation  4) One or multiple p0-alpha values configured for open loop PC  5) PUSCH power control  6) PUCCH power control  7) PRACH power control  8) SRS power control  9) PHR |  |

Table 4.2.15.1-2: Layer-2 and Layer-3 mandatory features for IAB-MT

| Features | Index | Feature group | Components | Additional information |
| --- | --- | --- | --- | --- |
| 0. General | N/A | IAB procedures | 1) Routing using BAP protocol, as specified in TS 38.340 [23]  2) Bearer mapping using BAP protocol, as specified in TS 38.340 [23]  3) IAB-node IP address signalling over RRC, as specified in TS 38.331 [9] |  |
| 1. PDCP | 1-0 | Basic PDCP procedures | 1) (de)Ciphering on SRB  2) Integrity protection on SRB  3) Timer based SDU discard  4) Re-ordering and in-order delivery  6) Duplicate discarding  7) 18bits SN |  |
| 2. RLC | 2-0 | Basic RLC procedures | 1) RLC TM  2) RLC AM with 18bits SN  3) SDU discard |  |
| 2-4 | NR RLC SN size for SRB | NR RLC SN size for SRB |  |
| 3. MAC | 3-0 | Basic MAC procedures | 1) RA procedure on PCell  2) IAB-MT 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 SSB  5) Preamble grouping  6) UL single TA maintenance  7) HARQ operation for DL and UL  8) LCH prioritization  9) Prioritized bit rate  10) Multiplexing  11) SR with single SR configuration  12) BSR  13) PHR  14) 8bits and 16bits L field |  |
| 9. RRC | 9-1 | RRC buffer size | Maximum overall RRC configuration size | 45 Kbytes |
| 9-2 | RRC processing time | 1) RRC connection establishment  2) RRC connection resume without SCell addition/release and SCG establishment/modification/release  3) RRC connection reconfiguration without SCell addition/release and SCG establishment/modification/release  4) RRC connection re-establishment.  5) RRC connection reconfiguration with sync procedure  6) RRC connection reconfiguration with SCell addition/release or SCG establishment/modification/release  7) RRC connection resume  8) Initial security activation  9) Counter check  10) UE capability transfer | 1) to 3) 10ms  4) 10ms  5): 10ms + additional delay (cell search time and synchronization) defined in TS 38.133  6) and 7) 16ms  7) 10 or 6ms  (See details in clause 12, TS 38.331)  8) and 9) 5ms  10) 80ms |

Table 4.2.15.1-3: RF/RRM mandatory features for IAB-MT

| Features | Index | Feature group | Components | Additional information |
| --- | --- | --- | --- | --- |
| 1. System parameter | 1-2 | 64QAM modulation for FR2 PDSCH | 64QAM modulation for FR2 PDSCH |  |
| 1-3 | 64QAM for PUSCH | 64QAM for PUSCH |  |

*Next change*

# 6 Conditionally mandatory features without UE radio access capability parameters

| Features | Condition |
| --- | --- |
| Skipping UL configured grant if no data to transmit. | Either *configuredUL-GrantType1* or *configuredUL-GrantType2* is supported. |
| Downlink SDAP header | Either NAS reflective QoS or *as-ReflectiveQoS* is supported. |
| IMS emergency call | It is mandatory to support IMS emergency call for UEs which are IMS voice capable in NR. |
| MAC subheaders with one-octet eLCID field | It is mandatory to support MAC subheaders with one-octet eLCID field for UEs/IAB-MTs supporting MAC CEs using extended LCID values as specified in TS 38.321 [8]. |

*End of changes*