

ETSI TS 138 306 V16.6.0 (2021-10)



**5G;
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User Equipment (UE) radio access capabilities
(3GPP TS 38.306 version 16.6.0 Release 16)**

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ETSI

650 Route des Lucioles
F-06921 Sophia Antipolis Cedex - FRANCE

Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

Siret N° 348 623 562 00017 - NAF 742 C
Association à but non lucratif enregistrée à la
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Foreword

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1 Scope

The present document defines the NR UE Radio Access Capability Parameters.

2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

- [1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".
- [2] 3GPP TS 38.101-1: "NR; User Equipment (UE) radio transmission and reception Part 1: Range 1 Standalone".
- [3] 3GPP TS 38.101-2: "NR; User Equipment (UE) radio transmission and reception Part 2: Range 2 Standalone".
- [4] 3GPP TS 38.101-3: "NR; User Equipment (UE) radio transmission and reception Part 3: Range 1 and Range 2 Interworking operation with other radios".
- [5] 3GPP TS 38.133: "NR; Requirements for support of radio resource management".
- [6] 3GPP TS 38.211: "NR; Physical channels and modulation".
- [7] 3GPP TS 37.340: "Evolved Universal Terrestrial Radio Access (E-UTRA) and NR Multi-connectivity".
- [8] 3GPP TS 38.321: "NR; Medium Access Control (MAC) protocol specification".
- [9] 3GPP TS 38.331: "NR; Radio Resource Control (RRC) protocol specification".
- [10] 3GPP TS 38.212: "NR; Multiplexing and channel coding".
- [11] 3GPP TS 38.213: "NR; Physical layer procedures for control".
- [12] 3GPP TS 38.214: "NR; Physical layer procedures for data".
- [13] 3GPP TS 38.215: "NR; Physical layer measurements".
- [14] 3GPP TS 36.101: "Evolved Universal Terrestrial Radio Access (E-UTRA) radio transmission and reception".
- [15] 3GPP TS 36.306: "Evolved Universal Terrestrial Radio Access (E-UTRA) User Equipment (UE) radio access capabilities".
- [16] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) specification".
- [17] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRA) Radio Resource Control (RRC); Protocol Specification".
- [18] 3GPP TS 38.101-4: "NR; User Equipment (UE) radio transmission and reception Part 4: Performance requirements".
- [19] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer procedures".

- [20] 3GPP TS 25.306: "UE radio access capabilities".
- [21] 3GPP TS 38.304: "User Equipment (UE) procedures in Idle mode and RRC Inactive state".
- [22] 3GPP TS 37.355: "LTE Positioning Protocol (LPP)".
- [23] 3GPP TS 38.340: "NR; Backhaul Adaptation Protocol (BAP) specification".
- [24] 3GPP TR 38.822: "NR; User Equipment (UE) feature list".
- [25] 3GPP TS 37.324: "E-UTRA and NR; Service Data Adaptation Protocol (SDAP) specification"
- [26] 3GPP TS 38.314: "NR; Layer 2 Measurements".
- [27] 3GPP TS 36.133: "Evolved Universal Terrestrial Radio Access (E-UTRA); Requirements for support of radio resource management".
- [28] 3GPP TS 38.300: "NR; NR and NG-RAN Overall Description; Stage-2".

3 Definitions, symbols and abbreviations

3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [1].

Fallback band combination: A Uu band combination that would result from another Uu band combination (parent band combination) by releasing at least one SCell or uplink configuration of SCell, or SCG, or SUL. A PC5 band combination that would result from another PC5 band combination (parent band combination) by releasing at least one sidelink carrier. An intra-band non-contiguous band combination is not considered to be a fallback band combination of an intra-band contiguous band combination. A fallback band combination supports the same channel bandwidth(s) for each carrier as its parent band combination(s).

Fallback per band feature set: A feature set per band that has same or lower capabilities than the reported capabilities from the reported feature set per band for a given band.

Fallback per CC feature set: A feature set per CC that has same or lower capabilities than the capabilities of UE (e.g. supported MIMO layers, BW, modulation order) while keeping the numerology the same from the reported feature set per CC for a given carrier per band.

3.2 Symbols

For the purposes of the present document, the following symbols apply:

MaxDLDataRate:	Maximum DL data rate
MaxDLDataRate_MN:	Maximum DL data rate in the MN
MaxDLDataRate_SN:	Maximum DL data rate in the SN
MaxULDataRate:	Maximum UL data rate
MaxSLtxDataRate:	Maximum SL data rate in transmission
MaxSLrxDataRate:	Maximum SL data rate in reception

3.3 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

BAP	Backhaul Adaptation Protocol
BC	Band Combination
BT	Bluetooth

DAPS	Dual Active Protocol Stack
DL	Downlink
EHC	Ethernet Header Compression
FS	Feature Set
FSPC	Feature Set Per Component-carrier
IAB-MT	Integrated Access Backhaul Mobile Termination
MAC	Medium Access Control
MCG	Master Cell Group
MN	Master Node
MR-DC	Multi-RAT Dual Connectivity
PDCP	Packet Data Convergence Protocol
RLC	Radio Link Control
RTT	Round Trip Time
SCG	Secondary Cell Group
SDAP	Service Data Adaptation Protocol
SN	Secondary Node
UL	Uplink
WLAN	Wireless Local Area Network

4 UE radio access capability parameters

4.1 Supported max data rate

4.1.1 General

The DL, UL and SL max data rate supported by the UE is calculated by band or band combinations supported by the UE. A UE supporting NR (NR SA, MR-DC) shall support the calculated DL and UL max data rate defined in 4.1.2. A UE supporting NR sidelink communication shall support the calculated SL max data rate defined in 4.1.5.

4.1.2 Supported max data rate for DL/UL

For NR, the approximate data rate for a given number of aggregated carriers in a band or band combination is computed as follows.

$$\text{data rate (in Mbps)} = 10^{-6} \cdot \sum_{j=1}^J \left(v_{\text{Layers}}^{(j)} \cdot Q_m^{(j)} \cdot f^{(j)} \cdot R_{\text{max}} \cdot \frac{N_{\text{PRB}}^{BW(j),\mu} \cdot 12}{T_s^{\mu}} \cdot (1 - OH^{(j)}) \right)$$

wherein

J is the number of aggregated component carriers in a band or band combination

$R_{\text{max}} = 948/1024$

For the j -th CC,

$v_{\text{Layers}}^{(j)}$ is the maximum number of supported layers given by higher layer parameter *maxNumberMIMO-*

LayersPDSCH for downlink and maximum of higher layer parameters *maxNumberMIMO-LayersCB-PUSCH* and *maxNumberMIMO-LayersNonCB-PUSCH* for uplink.

$Q_m^{(j)}$ is the maximum supported modulation order given by higher layer parameter

supportedModulationOrderDL for downlink and higher layer parameter *supportedModulationOrderUL* for uplink.

$f^{(j)}$ is the scaling factor given by higher layer parameter *scalingFactor* and can take the values 1, 0.8, 0.75, and 0.4.

μ is the numerology (as defined in TS 38.211 [6])

T_s^μ is the average OFDM symbol duration in a subframe for numerology μ , i.e. $T_s^\mu = \frac{10^{-3}}{14 \cdot 2^\mu}$. Note that normal cyclic prefix is assumed.

$N_{PRB}^{BW(j),\mu}$ is the maximum RB allocation in bandwidth $BW^{(j)}$ with numerology μ , as defined in 5.3 TS 38.101-1 [2] and 5.3 TS 38.101-2 [3], where $BW^{(j)}$ is the UE supported maximum bandwidth in the given band or band combination.

$OH^{(j)}$ is the overhead and takes the following values

- 0.14, for frequency range FR1 for DL
- 0.18, for frequency range FR2 for DL
- 0.08, for frequency range FR1 for UL
- 0.10, for frequency range FR2 for UL

NOTE 1: Only one of the UL or SUL carriers (the one with the higher data rate) is counted for a cell operating SUL.

NOTE 2: For UL Tx switching between carriers, only the supported MIMO layer combination across carriers that results in the highest combined data rate is counted for the carriers in the supported maximum UL data rate.

The approximate maximum data rate can be computed as the maximum of the approximate data rates computed using the above formula for each of the supported band or band combinations.

For single carrier NR SA operation, the UE shall support a data rate for the carrier that is no smaller than the data rate computed using the above formula, with $j = 1$ CC and component $v_{Layers}^{(j)} \cdot Q_m^{(j)} \cdot f^{(j)}$ is no smaller than 4.

NOTE: As an example, the value 4 in the component above can correspond to $v_{Layers}^{(j)} = 1$, $Q_m^{(j)} = 4$ and $f^{(j)} = 1$.

For EUTRA in case of MR-DC, the approximate data rate for a given number of aggregated carriers in a band or band combination is computed as follows:

$$\text{Data rate (in Mbps)} = 10^{-3} \cdot \sum_{j=1}^J TBS_j$$

wherein

J is the number of aggregated EUTRA component carriers in MR-DC band combination

TBS_j is the total maximum number of DL-SCH transport block bits received or the total maximum number of UL-SCH transport block bits transmitted, within a 1ms TTI for j -th CC, as derived from TS36.213 [19] based on the UE supported maximum MIMO layers for the j -th CC, and based on the maximum modulation order for the j -th CC and number of PRBs based on the bandwidth of the j -th CC according to indicated UE capabilities.

The approximate maximum data rate can be computed as the maximum of the approximate data rates computed using the above formula for each of the supported band or band combinations.

For MR-DC, the approximate maximum data rate is computed as the sum of the approximate maximum data rates from NR and EUTRA.

4.1.3 Void

4.1.4 Total layer 2 buffer size for DL/UL

The total layer 2 buffer size is defined as the sum of the number of bytes that the UE is capable of storing in the RLC transmission windows and RLC reception and reassembly windows and also in PDCP reordering windows for all radio bearers.

The required total layer 2 buffer size in MR-DC and NR-DC is the maximum value of the calculated values based on the following equations:

- $MaxULDataRate_MN * RLCRTT_MN + MaxULDataRate_SN * RLCRTT_SN + MaxDLDataRate_SN * RLCRTT_SN + MaxDLDataRate_MN * (RLCRTT_SN + X2/Xn\ delay + Queuing\ in\ SN)$
- $MaxULDataRate_MN * RLCRTT_MN + MaxULDataRate_SN * RLCRTT_SN + MaxDLDataRate_MN * RLCRTT_MN + MaxDLDataRate_SN * (RLCRTT_MN + X2/Xn\ delay + Queuing\ in\ MN)$

Otherwise it is calculated by $MaxDLDataRate * RLC\ RTT + MaxULDataRate * RLC\ RTT$.

NOTE: Additional L2 buffer required for preprocessing of data is not taken into account in above formula.

The required total layer 2 buffer size is determined as the maximum total layer 2 buffer size of all the calculated ones for each band combination and the applicable Feature Set combination in the supported MR-DC or NR band combinations. The RLC RTT for NR cell group corresponds to the smallest SCS numerology supported in the band combination and the applicable Feature Set combination.

wherein

$X2/Xn\ delay + Queuing\ in\ SN = 25ms$ if SCG is NR, and $55ms$ if SCG is EUTRA

$X2/Xn\ delay + Queuing\ in\ MN = 25ms$ if MCG is NR, and $55ms$ if MCG is EUTRA

RLC RTT for EUTRA cell group = $75ms$

RLC RTT for NR cell group is defined in Table 4.1.4-1

Table 4.1.4-1: RLC RTT for NR cell group per SCS

SCS (kHz)	RLC RTT (ms)
15KHz	50
30KHz	40
60KHz	30
120KHz	20

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4.1.5 Supported max data rate for SL

For NR sidelink, the approximate data rate is computed as follows.

$$\text{data rate (in Mbps)} = 10^{-6} \cdot v_{Layers} \cdot Q_m \cdot f \cdot R_{max} \cdot \frac{N_{PRB}^{BW,\mu} \cdot 12}{T_s^\mu} \cdot (1 - OH)$$

wherein

$R_{max} = 948/1024$,

v_{Layers} is the the maximum number of supported layers for sidelink transmission (or reception) given by UE capability on supporting rank 2 PSSCH transmission and higher layer parameter *rankTwoReception*,

Q_m is the maximum supported modulation order between 6 or 8 given by higher layer parameter *sl-Tx-256QAM* and *sl-Rx-256QAM*,

f is the scaling factor for sidelink transmission and reception given by higher layer parameter *scalingFactorTxSidelink* and *scalingFactorRxSidelink* respectively, as specified in TS 36.331 [17] and TS 38.331 [9], and can take the values 1, 0.8, 0.75, and 0.4.

μ is the numerology (as defined in TS 38.211 [6])

T_s^μ is the average OFDM symbol duration in a subframe for numerology μ , i.e. $T_s^\mu = \frac{10^{-3}}{14 \cdot 2^\mu}$. Note that

normal cyclic prefix is assumed.

$N_{PRB}^{BW,\mu}$ is the maximum possible RB allocation in bandwidth BW for PSSCH, where BW is the UE supported maximum bandwidth in the given band or band combination,

OH is the overhead and takes the following values

- 0.217, for frequency range FR1 for SL
- 0.25, for frequency range FR2 for SL

4.1.6 Total layer 2 buffer size for NR SL

The total layer 2 buffer size for NR sidelink communication is defined as the sum of the number of bytes that the UE is capable of storing in the RLC transmission windows and RLC reception and reassembly windows and also in PDCP reordering windows for all radio bearers for NR sidelink communication.

The required total layer 2 buffer size for NR sidelink communication is the maximum value of the calculated values based on the following equations:

$$MaxSLtxDataRate * RLC\ RTT + MaxSLrxDataRate * RLC\ RTT.$$

NOTE: Additional L2 buffer required for preprocessing of data is not taken into account in above formula.

The required total layer 2 buffer size for NR sidelink communication is determined as the maximum total layer 2 buffer size of all the calculated ones for each band combination and the applicable Feature Set combination in the supported NR sidelink band combinations. The RLC RTT for NR sidelink communication corresponds to the smallest SCS numerology supported in the band combination and the applicable Feature Set combination.

wherein

RLC RTT for NR sidelink communication is defined in Table 4.1.6-1

Table 4.1.6-1: RLC RTT for NR sidelink communication per SCS

SCS (kHz)	RLC RTT (ms)
15KHz	200
30KHz	100
60KHz	50
120KHz	25

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4.2 UE Capability Parameters

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4.2.1 Introduction

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The following clauses define the UE radio access capability parameters. Only parameters for which there is the possibility for UEs to signal different values are considered as UE radio access capability parameters. Therefore, mandatory features without capability parameters that are the same for all UEs are not listed here.

The network needs to respect the signalled UE radio access capability parameters when configuring the UE and when scheduling the UE.

For capabilities that required to be set consistently for all FDD-FR1 bands (i.e. capabilities that are supposed to be per UE), the UE shall also set capability values for all SUL bands with same values for FDD-FR1 bands if SUL band is supported by the UE.

The UE may support different functionalities between FDD and TDD, and/or between FR1 and FR2. The UE shall indicate the UE capabilities as follows. In the table of UE capability parameter in subsequent clauses, "Yes" in the column by "FDD-TDD DIFF" and "FR1-FR2 DIFF" indicates the UE capability field can have a different value for between FDD and TDD or between FR1 and FR2 and "No" indicates if it cannot. Regarding to the per UE capabilities that are FDD/TDD differentiated (i.e. capabilities indicated as "Yes" in the column by "FDD-TDD DIFF"), the corresponding capabilities indicated by the FDD capability is applied to SUL if SUL band is supported by the UE. "FD" in the column indicates to refer the associated field description. "FR1 only" or "FR2 only" in the column indicates the associated feature is only supported in FR1 or FR2 and "TDD only" indicates the associated feature is only supported in TDD and not applicable to SUL carriers. "N/A" in the column indicates it is not applicable to the feature (e.g. the signaling supports the UE to have different values between FDD and TDD or between FR1 and FR2).

- 1> set all fields of UE-NR/MRDC-Capability except fdd-Add-UE-NR/MRDC/Sidelink-Capabilities, tdd-Add-UE-NR/MRDC/Sidelink-Capabilities, fr1-Add-UE-NR/MRDC-Capabilities and fr2-Add-UE-NR/MRDC-Capabilities, to include the values applicable for all duplex mode(s) and frequency range(s) that the UE supports;
- 1> if UE supports both FDD (or SUL) and TDD and if (some of) the UE capability fields have a different value for FDD (or SUL) and TDD

- 2> if for FDD (and, if the UE supports SUL, for SUL), the UE supports additional functionality compared to what is indicated by the previous fields of UE-NR/MRDC-Capability/SidelinkParameters:
 - 3> include field fdd-Add-UE-NR/MRDC/Sidelink-Capabilities and set it to include fields reflecting the additional functionality applicable for FDD;
- 2> if for TDD, the UE supports additional functionality compared to what is indicated by the previous fields of UE-NR/MRDC-Capability/SidelinkParameters:
 - 3> include field tdd-Add-UE-NR/MRDC/Sidelink-Capabilities and set it to include fields reflecting the additional functionality applicable for TDD;
- 1> if UE supports both FR1 and FR2 and if (some of) the UE capability fields have a different value for FR1 and FR2:
 - 2> if for FR1, the UE supports additional functionality compared to what is indicated by the previous fields of UE-NR/MRDC-Capability:
 - 3> include field fr1-Add-UE-NR/MRDC-Capabilities and set it to include fields reflecting the additional functionality applicable for FR1;
 - 2> if for FR2, the UE supports additional functionality compared to what is indicated by the previous fields of UE-NR/MRDC-Capability:
 - 3> include field fr2-Add-UE-NR/MRDC-Capabilities and set it to include fields reflecting the additional functionality applicable for FR2;

NOTE 1: The fields which indicate "shall be set to 1" or "shall be set to *supported*" in the following tables means these features are purely mandatory and are assumed they are the same as mandatory without capability signaling.

NOTE 2: For the case where the UE is allowed to support different functionality between FDD and TDD and between FR1 and FR2 according to the specification, the UE capability indication is clarified in Annex B.

For optional features, the UE radio access capability parameter indicates whether the feature has been implemented and successfully tested. For mandatory features with the UE radio access capability parameter, the parameter indicates whether the feature has been successfully tested. In the table of UE capability parameter in subsequent clauses, "Yes" in the column by "M" indicates the associated feature is mandatory and "No" indicates the associated feature is optional. "CY" in the column indicates the associated feature is conditional mandatory and the condition is described in the field description and the associated feature is considered mandatory with capability parameter, when the described condition is satisfied. "FD" in the column indicates to refer the associated field description. Some parameters in subsequent clauses are not related to UE features and in the case, "N/A" is indicated in the column.

UE capability parameters have hierarchical structure. In the table of UE capability parameter in subsequent clauses, "Per" indicates the level the associated parameter is included. "UE" in the column indicates the associated parameter is signalled per UE, "Band" indicates it is signalled per band, "BC" indicates it is signalled per band combination, "FS" indicates it is signalled per feature set (per band per band combination), "FSPC" indicates it is signalled per feature set per component carrier (per CC per band per band combination), and "FD" in the column indicates to refer the associated field description.

4.2.2 General parameters

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Definitions for parameters	Per	M	FDD-TDD DIFF	FR1-FR2 DIFF
accessStratumRelease Indicates the access stratum release the UE supports as specified in TS 38.331 [9].	UE	Yes	No	No
delayBudgetReporting Indicates whether the UE supports delay budget reporting as specified in TS 38.331 [9].	UE	No	No	No
dl-DedicatedMessageSegmentation-r16 Indicates whether the UE supports reception of segmented DL RRC messages.	UE	No	No	No
drx-Preference-r16 Indicates whether the UE supports providing its preference of a cell group on DRX parameters for power saving in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	No
inactiveState Indicates whether the UE supports RRC_INACTIVE as specified in TS 38.331 [9].	UE	Yes	No	No
inDeviceCoexInd-r16 Indicates whether the UE supports IDC (In-Device Coexistence) assistance information as specified in TS 38.331 [9].	UE	No	No	No
maxBW-Preference-r16 Indicates whether the UE supports providing its preference of a cell group on the maximum aggregated bandwidth for power saving in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	Yes
maxCC-Preference-r16 Indicates whether the UE supports providing its preference of a cell group on the maximum number of secondary component carriers for power saving in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	No
maxMIMO-LayerPreference-r16 Indicates whether the UE supports providing its preference of a cell group on the maximum number of MIMO layers for power saving in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	Yes
mcgRLF-RecoveryViaSCG-r16 Indicates whether the UE supports recovery from MCG RLF via split SRB1 (if supported) and via SRB3 (if supported) as specified in TS 38.331 [9].	UE	No	No	No
minSchedulingOffsetPreference-r16 Indicates whether the UE supports providing its preference on the minimum scheduling offset for cross-slot scheduling of the cell group for power saving in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	No
mpsPriorityIndication-r16 Indicates whether the UE supports <i>mpsPriorityIndication</i> on RRC release with redirect as defined in TS 38.331 [9].	UE	No	No	No
onDemandSIB-Connected-r16 Indicates whether the UE supports the on-demand request procedure of SIB(s) or posSIB(s) while in RRC_CONNECTED, as specified in TS 38.331 [9].	UE	No	No	No
overheatingInd Indicates whether the UE supports overheating assistance information.	UE	No	No	No
partialFR2-FallbackRX-Req Indicates whether the UE meets only a partial set of the UE minimum receiver requirements for the eligible FR2 fallback band combinations as defined in Clause 4.2 of TS 38.101-2 [3] and Clause 4.2 of TS 38.101-3 [4]. If not indicated, the UE shall meet all the UE minimum receiver requirements for all the FR2 fallback combinations in TS 38.101-2 [3] and TS 38.101-3 [4]. The UE shall support configuration of any of the FR2 fallback band combinations regardless of the presence or the absence of this field.	UE	No	No	No
redirectAtResumeByNAS-r16 Indicates whether the UE supports reception of <i>redirectedCarrierInfo</i> in an <i>RRCRelease</i> message in response to an <i>RRCResumeRequest</i> or <i>RRCResumeRequest1</i> which is triggered by the NAS layer, as specified in TS 38.331 [9].	UE	No	No	No
reducedCP-Latency Indicates whether the UE supports reduced control plane latency as defined in TS 38.331 [9].	UE	No	No	No
referenceTimeProvision-r16 Indicates whether the UE supports provision of <i>referenceTimeInfo</i> in <i>DLInformationTransfer</i> message and in SIB9 and reference time information preference indication via assistance information, as specified in TS 38.331 [9].	UE	No	No	No
releasePreference-r16 Indicates whether the UE supports providing its preference assistance information to transition out of RRC_CONNECTED for power saving, as specified in TS 38.331 [9].	UE	No	No	No